

Fragile States: Monitoring and Assessment The Way Forward

CIFP: What We Do

From Countryrisk.com:

“Tired of playing second fiddle, Canada raises the bar with this site, which easily outshines the CIA's State Failure project (see separate entry). The base aim is similar: discover what factors correlate with violent political conflict, with a view to early warning and prevention.

“The CIFP, a joint academic-government project, tells us we should be looking out for. Factors include a history of conflict, environmental stresses, ethnic divisions, and militarization, among others. A well-done interface spits out the base statistics, and irregular risk reports provide country risk ratings as well as dry, detailed country risk assessments. Reports on hot topics such as corporate social responsibility also appear on the site.”

<http://www.countryrisk.com/guide/archives/000156.html>

CIFP Fragility Project: Our Goals

- To provide a decision-support tool for desk officers;
- To provide strategic and operational guidance for policy makers;
- To integrate fragile states analysis into the whole of government; and
- To develop a network of research and policy capabilities across Canada.

Aid to Policymakers Strategic Level

Identify and monitor fragile states of interest to Canada using a diverse and comprehensive methodology that:

- Evaluates the strengths and weaknesses of each state;
- Specifies entry points where Canada can get direct its policies;
- Measures state performance over time in comparison to itself and others.

Typical Questions:

- Which countries most require a response?
- Where can Canada respond most effectively?
- Which department(s) should lead/contribute to the response?
- What resources should be devoted to the response?
- What international partners can Canada work with in theatre?

Aids to Policymakers Operational Level

To make a measurable difference in the quality of Canadian policies at the sectoral and operational level by:

- Providing a monitoring capability that informs operations;
- Measuring policy effectiveness;
- Implementing a desktop software solution that assists decision making;
- Integrating the desk officers in the analysis.

Typical Questions:

- Where/what are the primary sources of instability requiring response?
- How do recent events/trends affect policy formation and implementation?
- Are current policies having the intended effect?

Fragile States Monitoring and Assessment Project CIFP Net Assessment

CIFP Concept Paper

- **Outlines international developments in fragile and failed state policy**
- **Identifies key areas of Canadian expertise in the field**
- **Adapts indicator-based methodology for state fragility monitoring and analysis**
- **Incorporates dynamic event-monitoring capability in fragile state environments**
- **Outlines relevance and impact assessment methodologies, allowing objective and comparative analysis of Canadian interests and capabilities in particular fragile state environments**

Fragile States Monitoring and Assessment Project

Key Elements

The principal purpose of this project is to contribute to the Canadian Government's capacity to identify, monitor, and respond to fragile states.

Interdepartmental Advisory Group (IDAG)

Membership: Representatives from all GoC departments with a role in fragile state policy

Purpose:

- Disseminate information
- Engage other relevant GOC departments in the project
- Incorporate feedback regarding necessary components of a truly WoG approach to fragile state policy

Scientific Committee

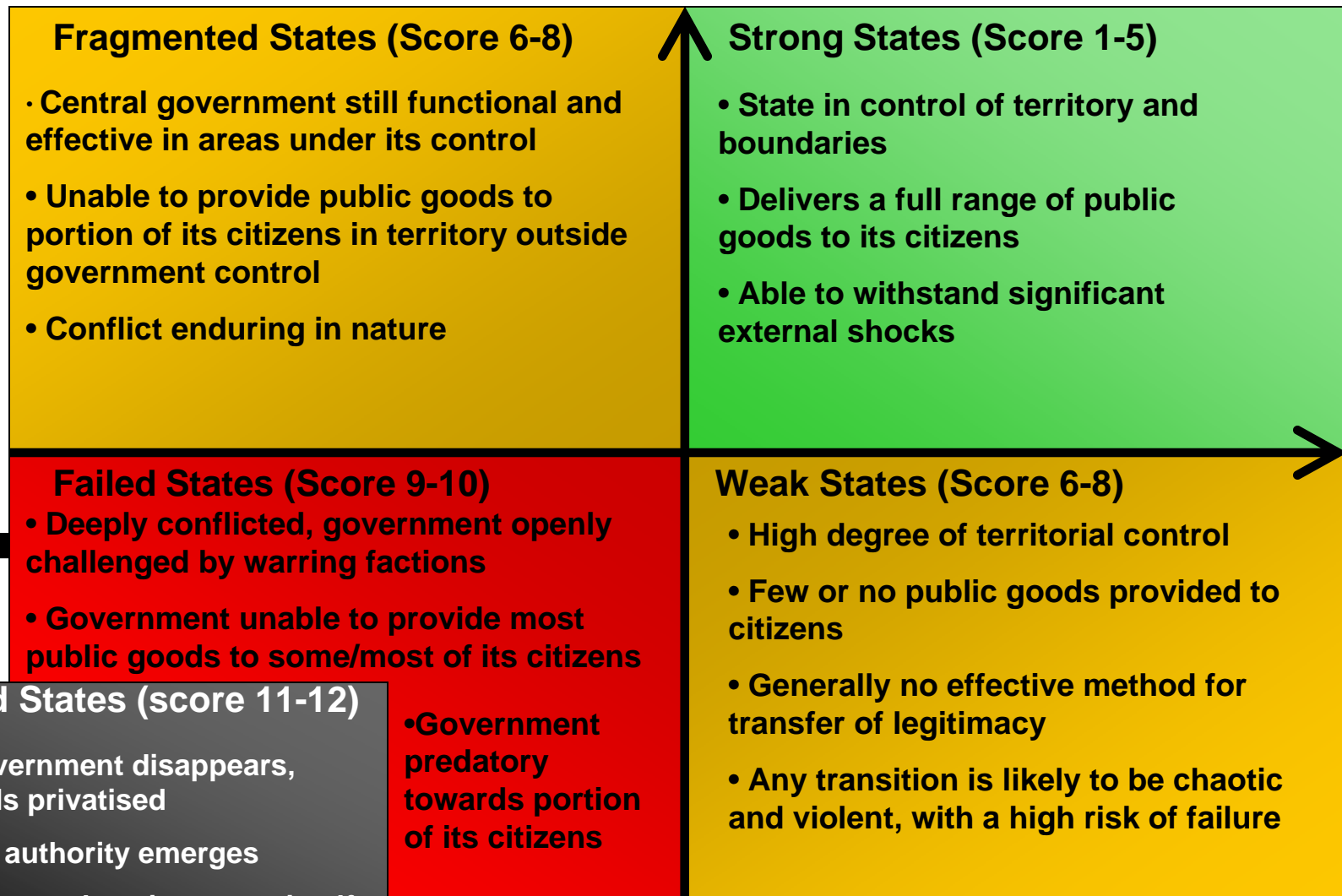
Membership: Lead subject experts in the field of state fragility drawn from academic and policy backgrounds across Canada

Purpose:

- Provide input from areas of specialization
- Examine in detail project research and methodology
- Identify problems or omissions and suggest possible solutions

CIFP Framework for Fragile and Failed States

Provision of Public Goods



Territorial Control

Collapsed States (score 11-12)

- Central government disappears, public goods privatised
- Vacuum of authority emerges
- Violence directed against state itself rather than ruling regime

- Government predatory towards portion of its citizens

What is State Fragility?

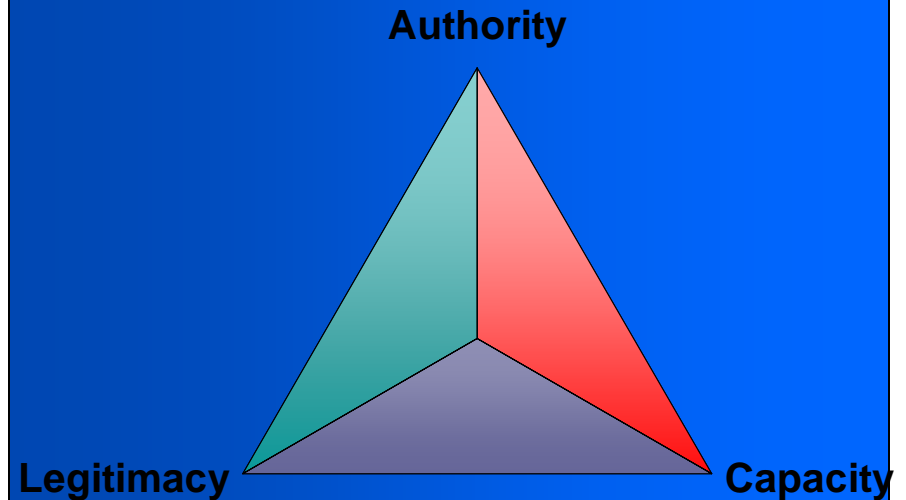
CIFP Structural Data Methodology

Fragile states lack the *functional authority* to provide basic security within their borders, the *institutional capacity* to provide basic social needs for their populations, and/or the *political legitimacy* to effectively represent their citizens at home and abroad.

Cluster Analysis

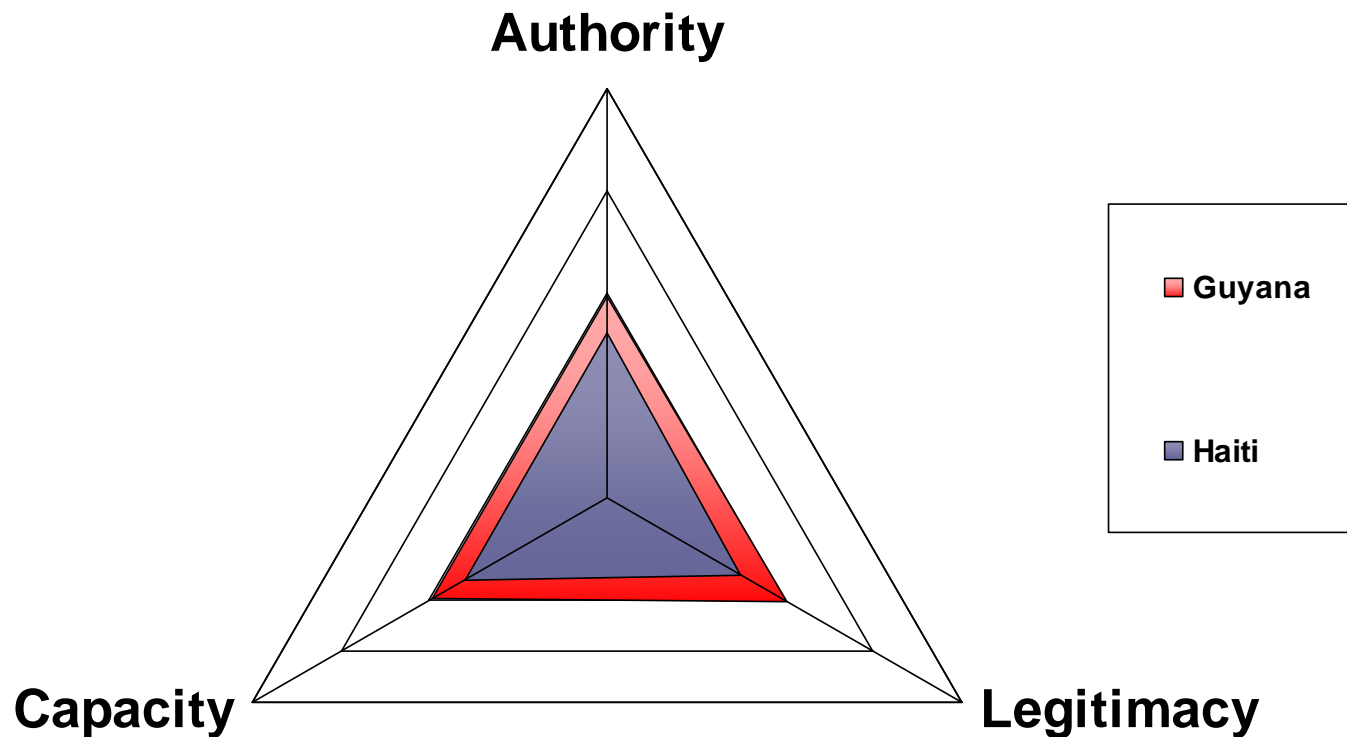
- Governance
- Economics
- Security and Crime
- Environment
- Human Development
- Population and Demography

Institutional Analysis



CIFP A – L – C Structural Analysis (Beta)

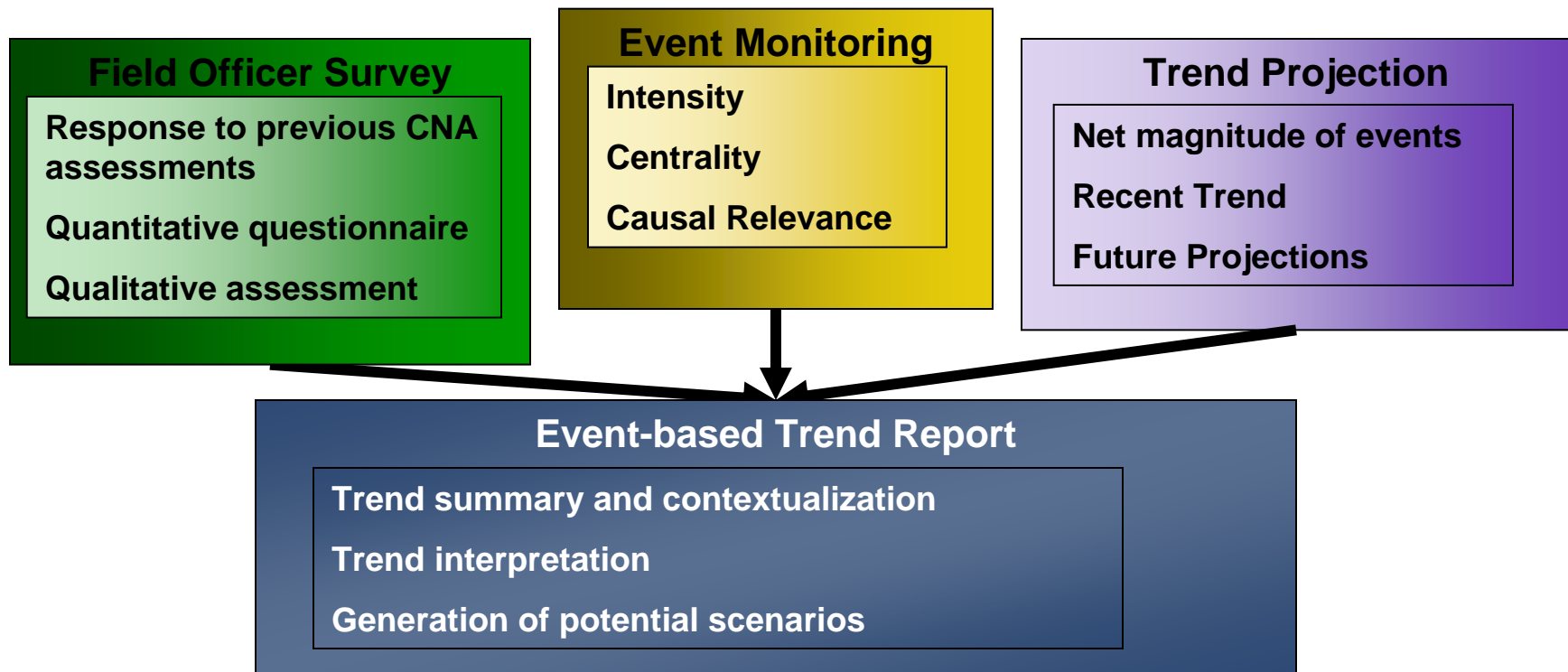
The A-L-C structural indicator analysis permits the identification of core weaknesses along three vital dimensions of a viable state. Weakness along any dimension is a sign of potential fragility.



CIFP Event-based Trend Analysis

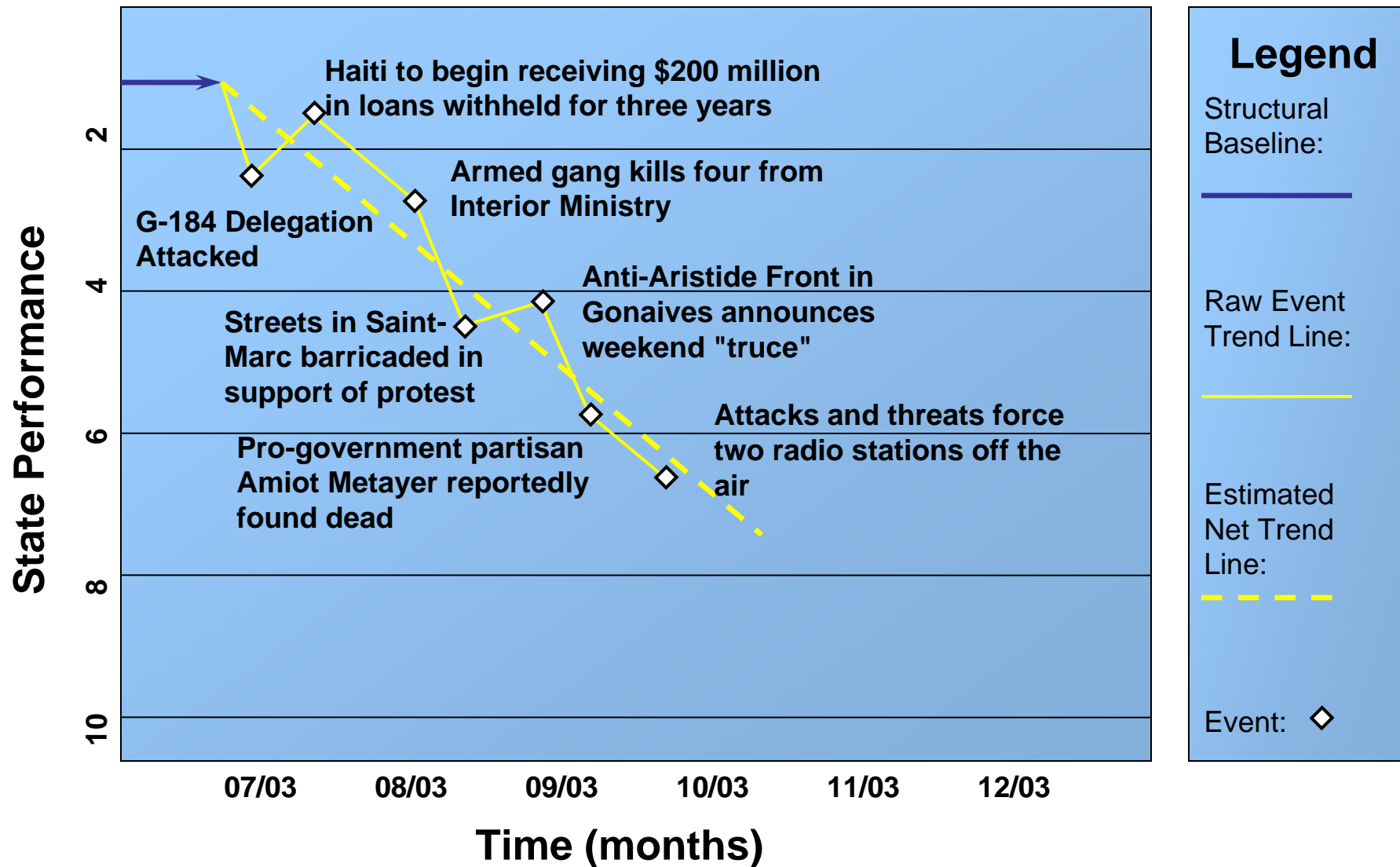
Qualitative and Quantitative Inputs

In addition to a structural assessment for all countries, CIFP performs an event-based trend analysis for potentially fragile states. Data sources are varied, including both qualitative input from officers in the field and quantitative event monitoring. Using this information, CIFP produces a net trend projection for the state and a written report that summarizes, contextualizes, and interprets the results.



CIFP Event-Based Trend Projection

Haiti July 2003-January 2004, Selected Events



CIFP Event-based Trend Analysis Field Officer Survey

The CIFP event-based trend analysis solicits input from officers currently serving in fragile state environments. For each topic, officers are asked to describe the performance of the country and to specify whether it is improving or worsening. Officers are also encouraged to respond to previous reports, identifying points of particular relevance and/or areas of disagreement (see <http://www.carleton.ca/cifp/docs/countrysurvey.pdf>)

Key survey topics:

Unconsolidated government power

Lack of territorial control

Changes in governing elites

Extent of social stratification

Inequalities in land distribution

Presence of private security firms

Political use of inflammatory rhetoric

Government exploitation of internal divisions

Presence of radicalized religious groups

Prevalence of political propaganda

Perceptions of police and judicial bias

Government capacity to maintain public safety and stability

Impositions of curfew

Mass movements of civilians internally or across national borders

Travel restrictions into or out of the country

Occurrence of political arrests

Level of disillusionment in the economy, government and security forces

Level of opposition activity

Presence of food shortages

Presence of ethnic rivalries

Presence of ethnic persecution

Presence of language laws

Level of organized crime

Economic dependence on drug production and trafficking

Most likely type of crisis (if any)

Making a Difference: Maximizing Canada's Engagement Effectiveness

Relevance + **Impact Potential** = **Net Engagement Effectiveness**

Relevance

How important is engagement by Canada to Canadian foreign policy and development goals? To the host state?

Impact Potential:

How much will the situation improve as a result of engagement by Canada, regional actors, and the broader international community?

Net Engagement Effectiveness:

Will Canadian engagement serve to maximize stated foreign policy goals, both with respect to the fragile state in question and in general?

CIFP Relevance Assessment: Maximizing Canadian Foreign Policy Goals

The relevance assessment system allows decision makers to rank fragile states in order of relevance to Canada using both quantitative and qualitative measures. The assessment encourages decisions that are rapid, rational, and consistent. Canada's limited engagement resources are thus deployed so as to further Canadian development and foreign policy goals to the greatest extent possible.

Development Linkages

- Total Canadian bilateral ODA
- Total Canadian multilateral ODA
- Priority of aid relationship for Canada
- Priority of aid relationship for recipient.

Economic and Trade Linkages

- Bilateral trade measured as a percentage of total Canadian trade
- Bilateral trade measured as a percentage of partner country's trade
- Total remittances from Canada.

Security and Strategic Linkages

- Importance to regional stability
- Presence of partisan conflict participants in Canada
- Level of fragility and speed of decay

Demographic Linkages

- Diaspora population in Canada as a proportion of Canadian population
- Diaspora population in Canada as a proportion of recipient country
- Size of Diaspora political/economic network

CIFP Potential Impact Assessment: Canadian Engagement Toolbox

As part of the engagement effectiveness assessment, the CNA evaluates the various tools available for deployment in the Canadian foreign policy tool box, identifying those that best suit the needs of the fragile state in question. In this way, the CNA brings together the theoretical and the logistical, creating a realistic and comprehensive assessment impact assessment grounded in theory.

Potential Participants:

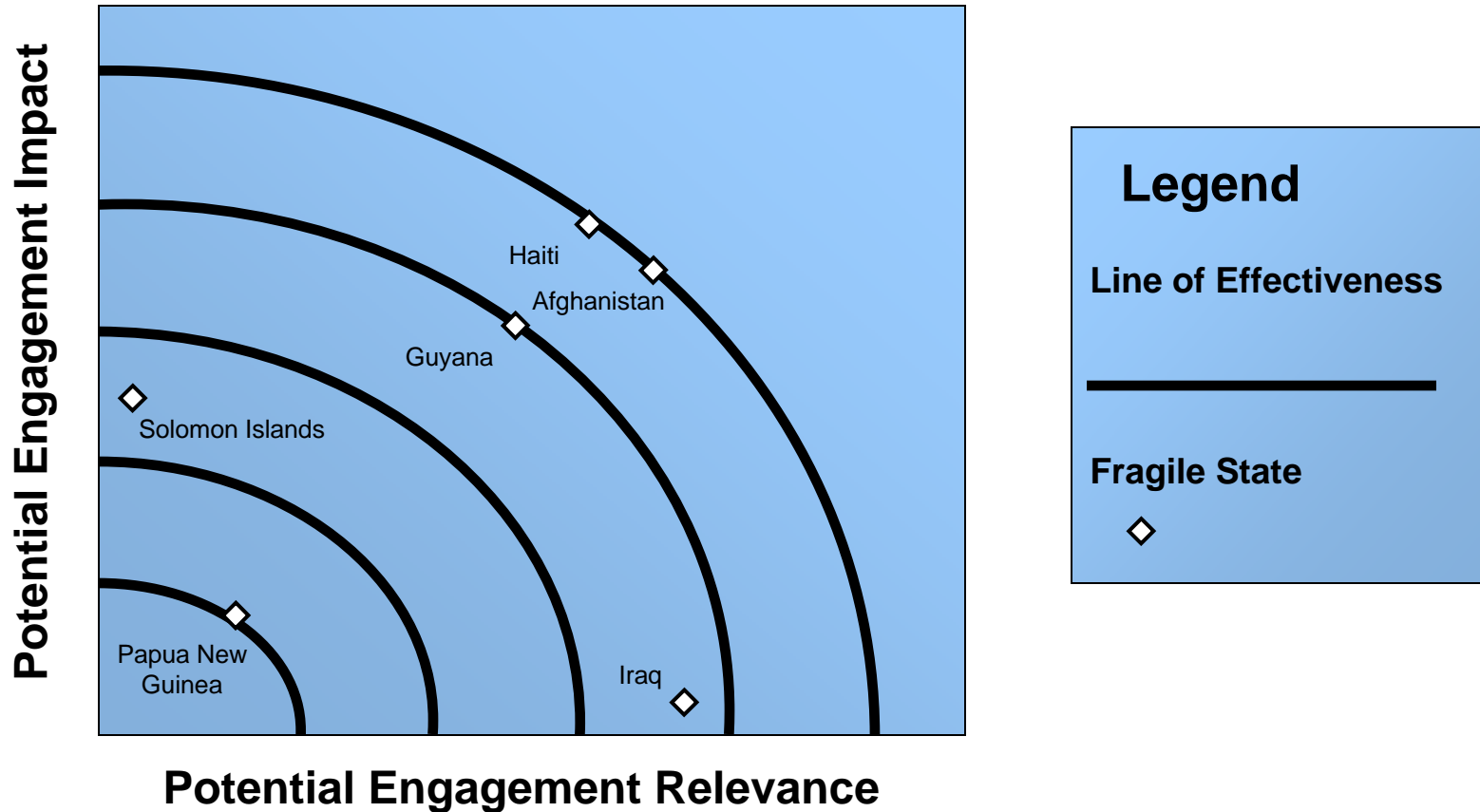
- | | | | |
|----------|------------------------|----------------------|------------------------|
| 1) CIDA | 5) PCO | 9) Solicitor | 13) Canada Corps |
| 2) FAC | 6) Parl. Centre | General/RCMP | 14) PPC |
| 3) DND | 7) CANADEM | 10) Dept. of Justice | 15) NGOs |
| 4) ITCAN | 8) Elections
Canada | 11) START/GPSF | 16) Universities |
| | | 12) DART | 17) Business community |

Types of Engagement:

Security	Economic	
Technical military assistance	Private sector development	Small enterprise, job creation, and mirco-credit projects
Security sector reform	Financial sector reform	Private investment
Preventive military deployment	Macroeconomic liberalization	
Military intervention		

Making a Difference: CIFP Net Effectiveness Assessment

When combined, CIFP Relevance and Engagement Impact Assessments provide quantifiable insight into how best to maximize Canadian engagement resources, highlighting tradeoffs between the nation's priorities and its capabilities with respect to the world's fragile states.



On-Line Resources

cifp Country Indicators for Foreign Policy **NPSIA** Carleton University

CIFP Map Viewer: GDP/Capita 1998

<http://www.carleton.ca/cqi-bin/cifp/data.pl>

cifp Country Indicators for Foreign Policy **NPSIA** Carleton University

Online Data Query

Programs: Algeria, Andorra, Angola, Antigua and Barbuda

Or, Choose Countries By Organization: None

Select Indicators: Total Population, Total Population Index, Population Growth Rate (Annual %), Population Growth Rate Index, Population Density Index

Or, Select all Indicators within a Category: None

Choose Years: 2000, 1999, 1998

Choose Output Format: Single Country Table, Single Indicator Table

Save the results in CSV: No, Yes

cifp Country Indicators for Foreign Policy **NPSIA** Carleton University

Great Lakes Example

Country	Score	Risk Level
Burundi	7.79	High Risk
Democratic Republic of Congo	7.79	High Risk
Kenya	6.18	Medium Risk
Rwanda	7.40	High Risk
Tanzania	6.35	Medium Risk
Uganda	6.74	High Risk

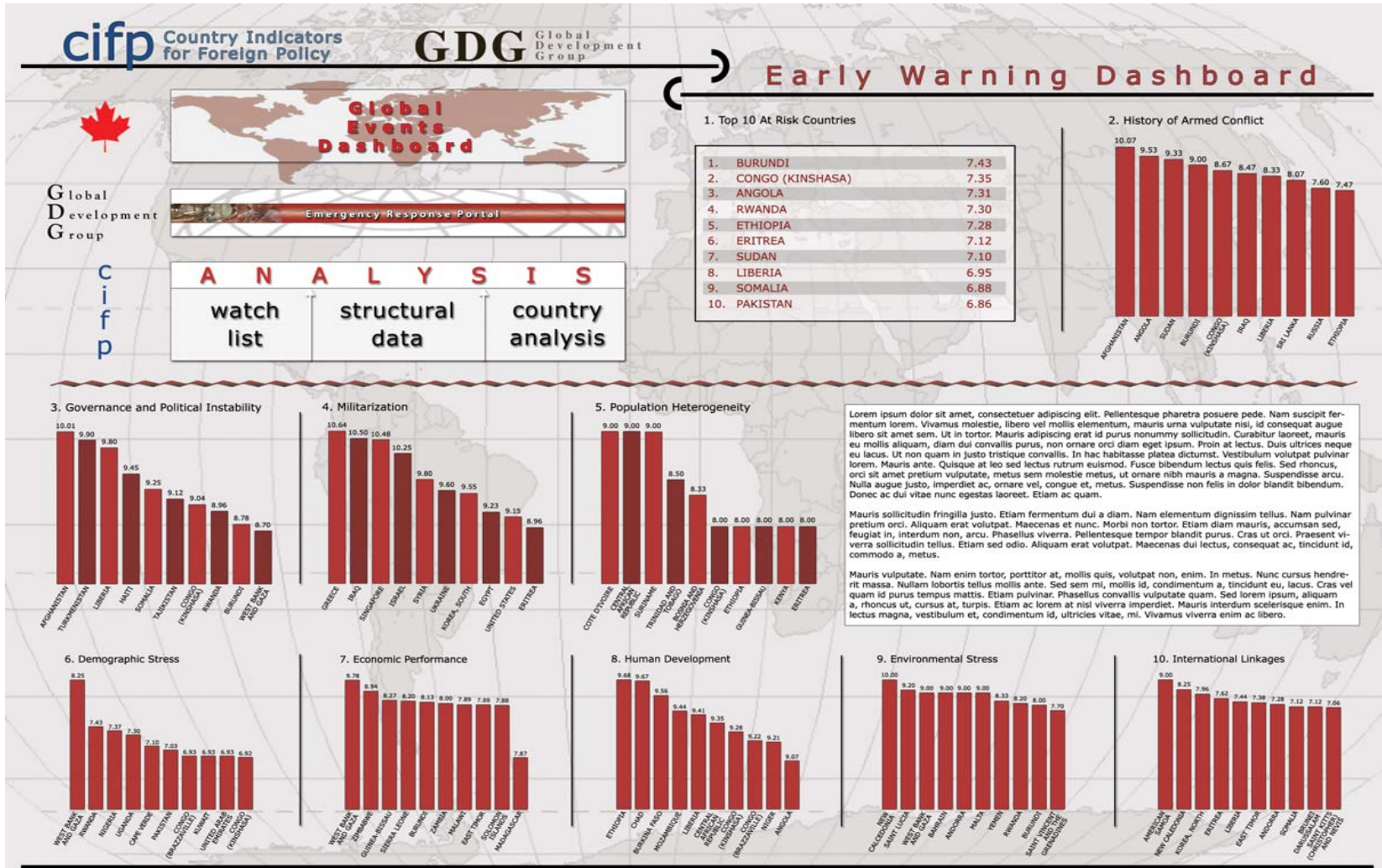
<http://www.carleton.ca/cqi-bin/cifp/data.pl>

cifp Country Indicators for Foreign Policy **NPSIA** Carleton University

CIFP Map Viewer: GDP/Capita 1998

<http://www.carleton.ca/cqi-bin/cifp/data.pl>

Partnership with Global Development Group DASHBOARD

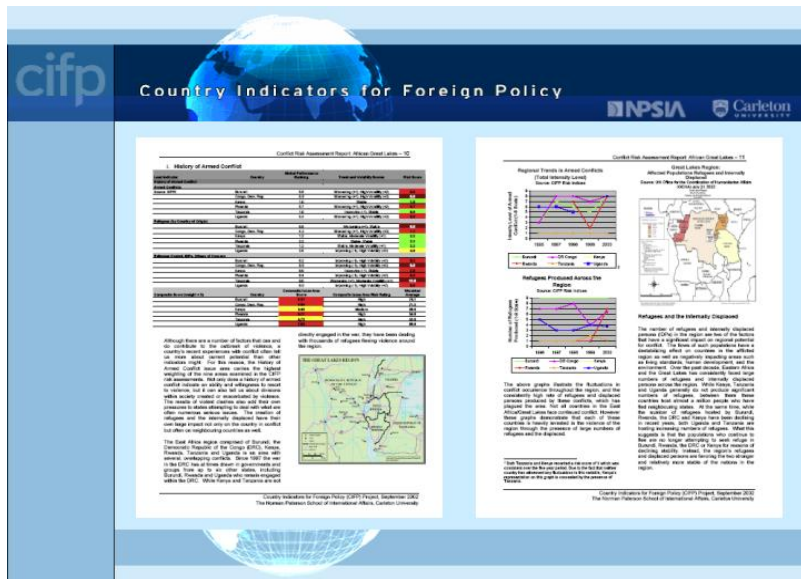


Summary

Effective policy on Fragile States requires a solid analytic base that:

- Identifies the relative risks that each state faces internally and poses externally;
- Combines real time dynamic analysis with structural information;
- Provides policy relevant diagnosis;
- Matches the analysis to the operational capacity of the end user; and
- Provides an evaluative framework for assessing policy impact.

Reports for NGOs and the Private Sector



Online Training Presentations

- ◆ *Early Warning and Risk Assessment* (01/03/2002)
- ◆ *Bosnia and Beyond* (01/03/2002)
- ◆ *Towards a Risk Assessment and Early Warning Capability* (13/12/2001)
- ◆ *Conflict Sensitive Approaches to Development, Humanitarian Assistance and Peace-Building* (26/11/2002)
- ◆ *Afghanistan Conflict Diagnostic* (17/11/2002)
- ◆ *CPR: Early Warning and Preventative Measures Workshop* (December 5-7 2001)
- ◆ *Training of Trainers II: Mano River Union Report to the Westminster Foundation for Democracy* (September 2003)

Private Sector and Conflict Prevention Background and Methodology Reports

- ◆ *Private Sector Risk Analysis and Conflict Impact Assessment: Measuring the Reverse Flow of Risk* (01/12/2002)
- ◆ *The Private Sector and Conflict Prevention Mainstreaming* (24/10/2002)
- ◆ *Fuelling Conflict or Financing Peace and Development: Part 1* (25/10/2002)
- ◆ *Fuelling Conflict or Financing Peace and Development: Part 2* (25/10/2002)
- ◆ *Measuring the Reverse Flow of Risk: Monywa Copper Project in Burma* (23/08/05)
- ◆ *Commerce and Conflict: The Case of DiamondWorks* (21/08/05)

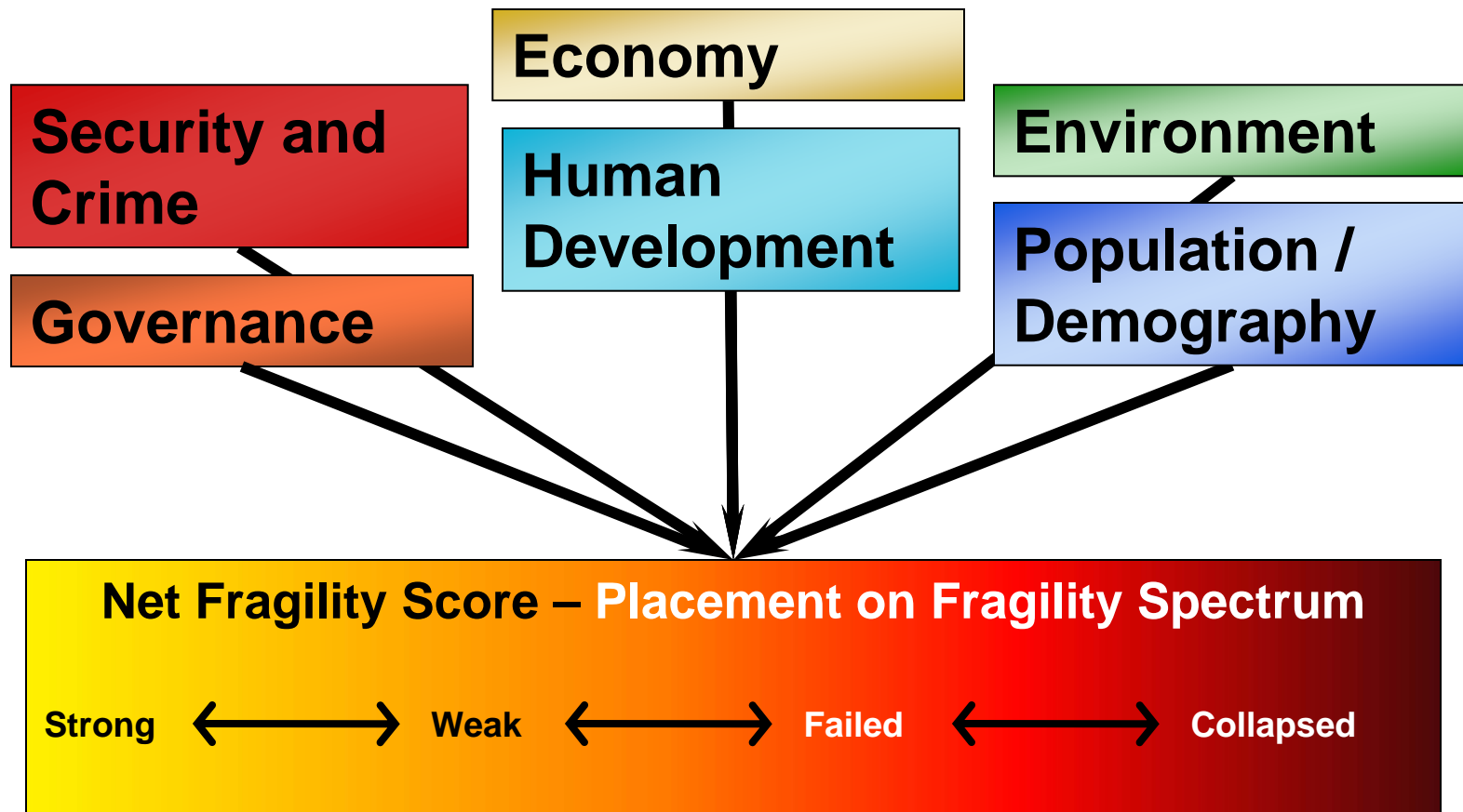
Additional Material

- About CIFP
- Perspectives
- Data

CIFP Structural Data Methodology

Indicator Clusters

CIFP creates an annual relative ranking of all countries based upon performance in six key indicator clusters; scores are calculated on the basis of over 100 indicators.



CIFP Event-based Trend Analysis Example Event Monitoring Record

Each event is included within a specific structural cluster, providing disaggregated trend lines within individual subject areas as well as net trend lines for all events within the country.

Region	Kosovo
Date	1 Nov 05
Cluster	Armed Conflict
Event	Hand grenade thrown at police station (thought to be Black Shadow)
Causality	2.0
Centrality	2.0
Intensity	2.5
Sign	-1
Net Score	-6.5
Type	16
Source 1	Focus News (Sofia, Google Alert)
Source 2	N/A

CIFP Event-based Trend Analysis Qualitative Report

Using the trend data collected, CIFP produces a written report summarizing the most important recent developments and contextualizing those developments in the broader history of the country and region.

Report Contents:

- Country background
- Key internal and external stakeholders
- History of armed conflict
- Governance and political instability
- Militarization
- Population heterogeneity and dynamics
- Economic performance
- Human Development
- Demographic stress
- Environmental Stress
- International Linkages
- Scenarios: Best case, worst case, and most likely

CIFP Potential Impact Assessment: Canadian Engagement Toolbox

Types of Engagement (cont'd):

Governance

Democracy-institution building
Judicial reform and legal assistance
Electoral assistance monitoring
Mediation, consultations, negotiations with local groups
Constitutional and legislation assistance
Political party development
Indigenous dispute resolution mechanisms
Land reform
Promulgation of humanitarian law
Formal and informal negotiation mechanisms
Police and Judiciary training and reform
CIVPOL deployment

Human Development

Human capital development
Civil society forums and workshops
Humanitarian relief
Human rights observers
Inter-group women's cooperation
Inter-group development projects
Targeted anti-poverty programs
Dissemination of information about sexual health
Refugee and IDP assistance
Environmental restoration
Natural resource management projects
ODA
Food security programs

What is State Fragility?

CIFP Fragility Spectrum

Strong

States in control of territory and boundaries, willing and able to deliver a full range of public goods to their citizens. Such states are able to withstand significant external shocks without requiring large amounts of external aid. Examples: Czech Republic, Brazil

CNA Net Indicator Score

1 - 5

Weak

States that are susceptible to fragility or failure because of limited governance capacity, economic stagnation, and/or an inability to ensure the security of their borders and sovereign domestic territory. Examples: Indonesia, Kenya

6 - 7

Failed

States characterized by conflict, humanitarian crises, and economic collapse. Government authority, legitimacy, and capacity no longer extend throughout the state, but instead are limited either to specific regions or groups. Examples: Sierra Leone, Sri Lanka

8 - 10

Collapsed

States in which central government no longer exists. These nations exist purely as geographical expressions, lacking any characteristics of state authority, legitimacy, or capacity. Examples: Somalia

11 - 12

CIFP PARTNERS and FUNDING

- **Canadian International Development Agency**
Policy Research on Fragile States Canadian Network of Researchers
- **The European Union – Crisis Unit**
Structural Risk Assessment (120 Countries) and Events Based Analysis – 11 Regions
- **Criminal Intelligence Service of Canada – Strategic Early Warning System**
Concept Paper, Watch List Template and Methodology, Haiti Criminal Threat in Canada, Methamphetamine Production in Canada, Russia Criminogenic Threat
- **Department of National Defence - CFEC**
Research for Effects Based Operations (Afghanistan) Multi-National Experiments III and IV
- **Petro-Canada – Young Innovator**
MNCs and Conflict Risk and Impact Assessment
- **Global development Group/Care Canada**
Snowball Humanitarian Assistance Information Portal – Dashboard

CIFP Origins and Status

- **CIFP had its start through the support that Andre Ouellette and Gerald Cossette formerly of CPP at FAC provided along with CSIS and DND to develop an open-source indicator based evaluation of Canadian Foreign Policy.**
- **While the first phase centered on data collection and consolidation the second and third phases of work funded by CIDA focused on analysis.**
- **CIFP reports and data are used by the UN system, the HSN , the EU, the OSCE and our methodology has contributed to conflict analysis initiatives at the WB, USAID and NGO networks (through CIDA funded training programmes).**
- **We are now in our fourth phase with the support of CIDA funding. The fragile states initiative engages policy makers in the analysis and evaluation framework.**
- **CIFP Registration Database:
Over 3000 current registrants – investments firms, government agencies, NGOs, Universities and Think Tanks**

International Perspectives: Rationales

USAID

- National security objectives
- Reducing poverty and advancing development
- Aid effectiveness

DfID

- Poverty is widespread
- Fragile states can destabilise regional and global security
- Costs of late response are high

DfID Fragile State Proxy List CPIA Rankings, 4th and 5th Quintiles (2004)

4 th Quintile
Cambodia
Chad
Republic of Congo
Djibouti
The Gambia
Guinea
Kiribati
Mauritania
Papua New Guinea
Sao Tome and Principe
Sierra Leone
Tajikistan
Tonga
Uzbekistan
Vanuatu

5 th Quintile
Angola
Burundi
Central African Republic
Côte d'Ivoire
Democratic Republic of the Congo
Comoros
Eritrea
Guinea-Bissau
Haiti
Lao PDR
Nigeria
Sudan
Togo
Solomon Islands
Zimbabwe

Not Rated
Afghanistan
Liberia
Myanmar
Somalia
Timor-Leste

**CIFP Conflict Methodology
Ten Highest-Risk Countries (2000-2004 Data)**

Country Name	Risk Index Scores
Burundi	7.56
Angola	7.34
Congo (Kinshasa)	7.31
Rwanda	7.17
Sudan	7.14
Ethiopia	7.13
Eritrea	7.09
Liberia	6.95
Somalia	6.90
Sierra Leone	6.82

CIFP Conflict Methodology

Small Island Developing States Risk Index

State	Risk Index	State	Risk Index	State	Risk Index
Guinea-Bissau	6.31	Dominican Republic	4.83	St. Lucia	4.2
Haiti	6.03	Cape Verde	4.77	Vanuatu	4.19
Timor-Leste	5.82	Belize	4.76	Micronesia (Federated States of)	4.17
Comoros	5.63	Seychelles	4.6	Samoa	4.15
Solomon Islands	5.25	Palau	4.54	Mauritius	4.13
Sao Tome and Principe	5.18	Tonga	4.54	Cyprus	4.07
Kiribati	5.09	Dominica	4.5	Jamaica	4.01
Papua New Guinea	5.04	St. Kitts and Nevis	4.49	Antigua and Barbuda	3.91
Bahrain	4.93	St. Vincent and the Grenadines	4.4	Guyana	3.9
Cuba	4.93	Fiji	4.39	Bahamas	3.77
Maldives	4.93	Suriname	4.36	Malta	3.56
Singapore	4.86	Grenada	4.35	Barbados	3.53
		Trinidad and Tobago	4.21		

Country	Scores	Country	Scores	Country	Scores	Country	Scores
Luxembourg	2.54	Antigua and Barbuda	3.91	Argentina	4.34	Belize	4.76
Ireland	3.10	Spain	3.92	Grenada	4.35	Cape Verde	4.77
Iceland	3.18	Czech Republic	3.93	Suriname	4.36	Equatorial Guinea	4.78
Finland	3.21	Poland	3.93	United Kingdom	4.36	Dominican Republic	4.83
New Zealand	3.36	Italy	4.01	Albania	4.39	Libya	4.83
Denmark	3.37	Jamaica	4.01	Fiji	4.39	Romania	4.83
Latvia	3.50	Switzerland	4.01	Qatar	4.39	Korea, South	4.86
Barbados	3.53	Uruguay	4.01	Saint Vincent and Grenadines	4.40	Singapore	4.86
Sweden	3.54	Monaco	4.02	Chile	4.41	Andorra	4.90
Malta	3.56	Bulgaria	4.03	Saint Kitts and Nevis	4.49	United States	4.90
Norway	3.57	Slovakia	4.03	Dominica	4.50	Honduras	4.91
Portugal	3.62	Panama	4.05	Botswana	4.52	Bahrain	4.93
Belgium	3.72	Cyprus	4.07	Korea, North	4.53	Cuba	4.93
Canada	3.76	Greece	4.07	Palau	4.54	Maldives	4.93
Bahamas	3.77	Tunisia	4.07	Tonga	4.54	Thailand	4.93
Hungary	3.79	Liechtenstein	4.09	Moldova	4.55	Croatia	4.94
Austria	3.81	Mauritius	4.13	Seychelles	4.60	Mexico	4.94
Australia	3.85	Western Samoa	4.15	Mongolia	4.62	Nicaragua	4.94
Japan	3.85	Micronesia	4.17	Paraguay	4.65	Belarus	4.95
Netherlands	3.85	Vanuatu	4.19	Brunei Darussalam	4.67	South Africa	4.97
Lithuania	3.86	Saint Lucia	4.20	El Salvador	4.67	United Arab Emirates	4.98
Slovenia	3.86	Trinidad and Tobago	4.21	Lesotho	4.70	Benin	5.00
Estonia	3.87	France	4.25	Brazil	4.71	Mozambique	5.03
Guyana	3.90	Costa Rica	4.26	Bolivia	4.72	Papua New Guinea	5.04

Country	Scores	Country	Scores	Country	Scores	Country	Scores
Swaziland	5.04	Saudi Arabia	5.40	Bosnia and Herzegovina	5.80	Iraq	6.27
Gabon	5.06	Madagascar	5.42	Algeria	5.81	Guinea-Bissau	6.31
Kiribati	5.09	Cambodia	5.43	Lebanon	5.81	Cote d'Ivoire	6.37
Morocco	5.11	Armenia	5.44	East Timor	5.82	Yemen	6.39
Venezuela	5.11	Philippines	5.47	Guinea	5.82	Congo (Brazzaville)	6.40
Jordan	5.12	Turkmenistan	5.48	Georgia	5.83	Indonesia	6.41
Gambia	5.14	Guatemala	5.49	Tanzania	5.86	Iran	6.57
Sao Tome and Principe	5.18	Kuwait	5.49	Zambia	5.86	Afghanistan	6.60
Oman	5.19	Djibouti	5.52	Ghana	5.92	Uganda	6.75
Ecuador	5.20	Bhutan	5.57	Viet Nam	5.93	Pakistan	6.79
Germany	5.20	Niger	5.61	Nepal	5.96	Sierra Leone	6.82
Namibia	5.24	Turkey	5.61	India	5.97	Somalia	6.90
Peru	5.24	Comoros	5.63	Central African Republic	6.02	Liberia	6.95
Solomon Islands	5.25	Israel	5.64	Haiti	6.03	Eritrea	7.09
Bangladesh	5.29	Burkina Faso	5.65	Nigeria	6.07	Ethiopia	7.13
Kyrgyzstan	5.29	Ukraine	5.69	Mauritania	6.08	Sudan	7.14
Mali	5.29	Azerbaijan	5.73	West Bank and Gaza	6.10	Rwanda	7.17
Tajikistan	5.30	Kazakhstan	5.73	Colombia	6.13	Congo (Kinshasa)	7.31
Senegal	5.31	Laos	5.73	Serbia and Montenegro	6.15	Angola	7.34
Uzbekistan	5.33	Syria	5.73	Myanmar (Burma)	6.16	Burundi	7.56
Macedonia	5.35	Malawi	5.75	Sri Lanka	6.16	American Samoa	..
Togo	5.36	China	5.76	Chad	6.18	New Caledonia	..
Egypt	5.38	Cameroon	5.78	Kenya	6.19		
Malaysia	5.39	Russia	5.78	Zimbabwe	6.22		