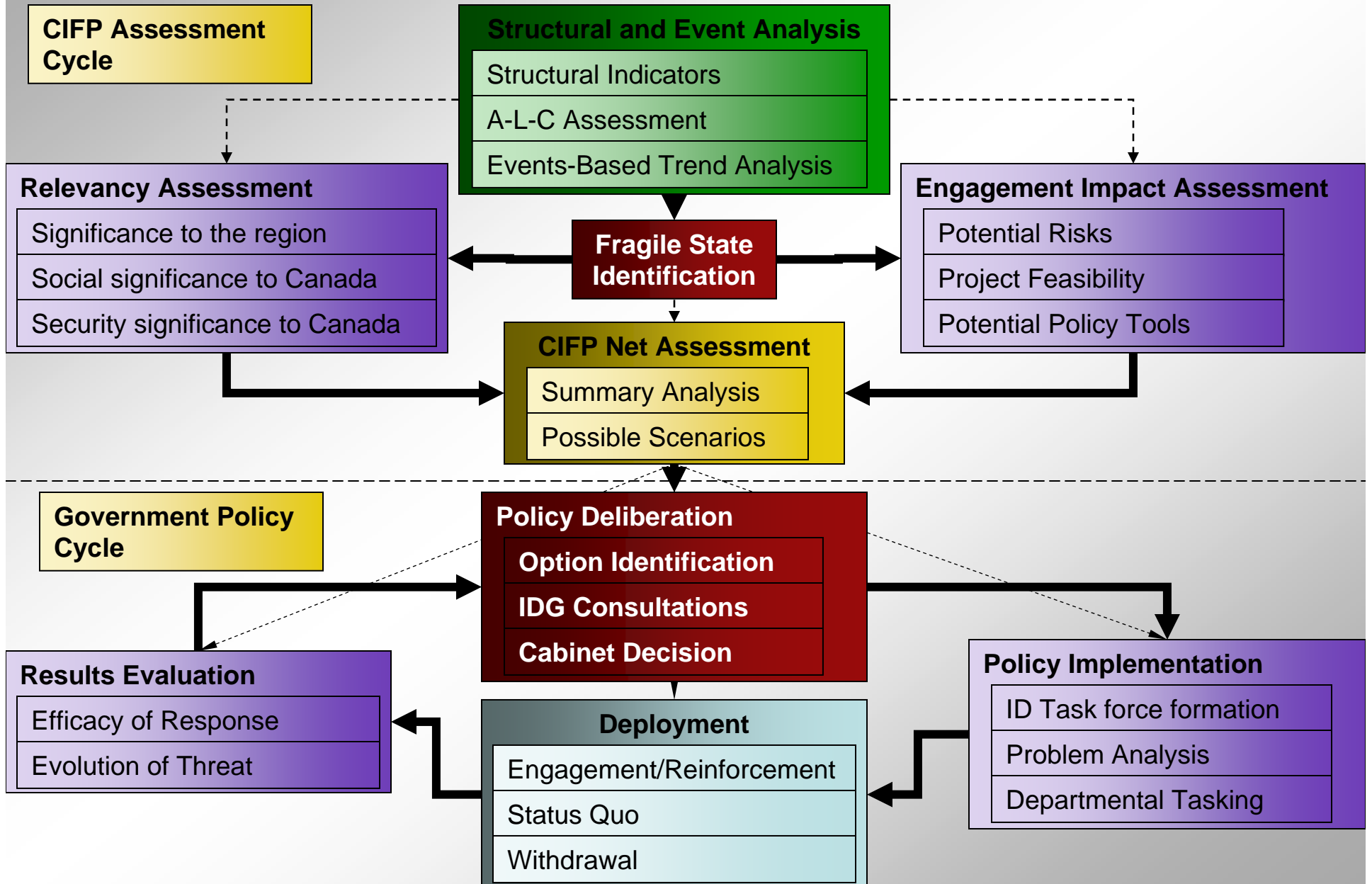


# State Fragility Policy Cycle



# What is State Fragility?

## 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 extends throughout the state, but instead is 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

# Framework for Fragile and Failed States

## Provision of Public Goods

### Fragmented States (Score 6-8)

- Central government still functional and effective in areas under its control
- Unable to provide public goods to portion of its citizens in territory outside government control
- Conflict enduring in nature

### Strong States (Score 1-5)

- State in control of territory and boundaries
- Delivers a full range of public goods to its citizens
- Able to withstand significant external shocks

### Failed States (Score 9-10)

- Deeply conflicted, government openly challenged by warring factions
- Government unable to provide most public goods to some/most of its citizens

### Weak States (Score 6-8)

- High degree of territorial control
- Few or no public goods provided to citizens
- Generally no effective method for transfer of legitimacy
- Any transition is likely to be chaotic and violent, with a high risk of failure

### 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

Territorial  
Control

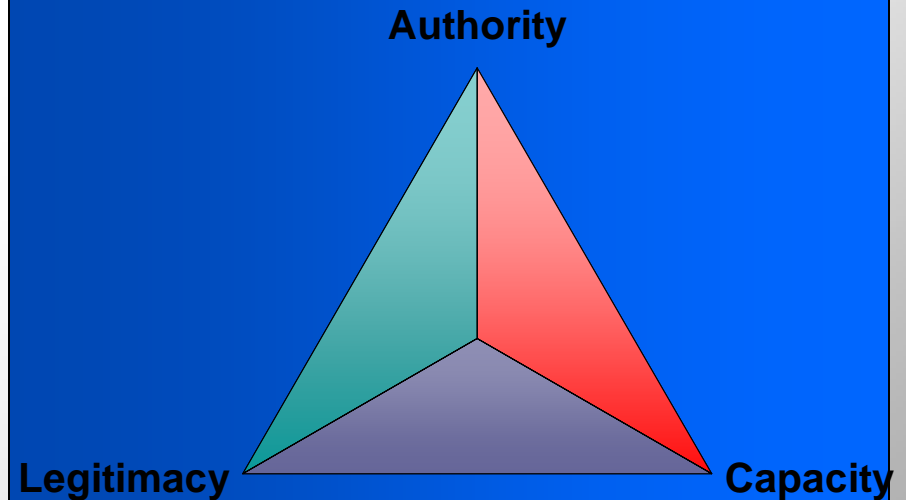
# What is State Fragility? Structural Data Methodology

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
- Crime
- Environment
- Human Development
- Demography/Population

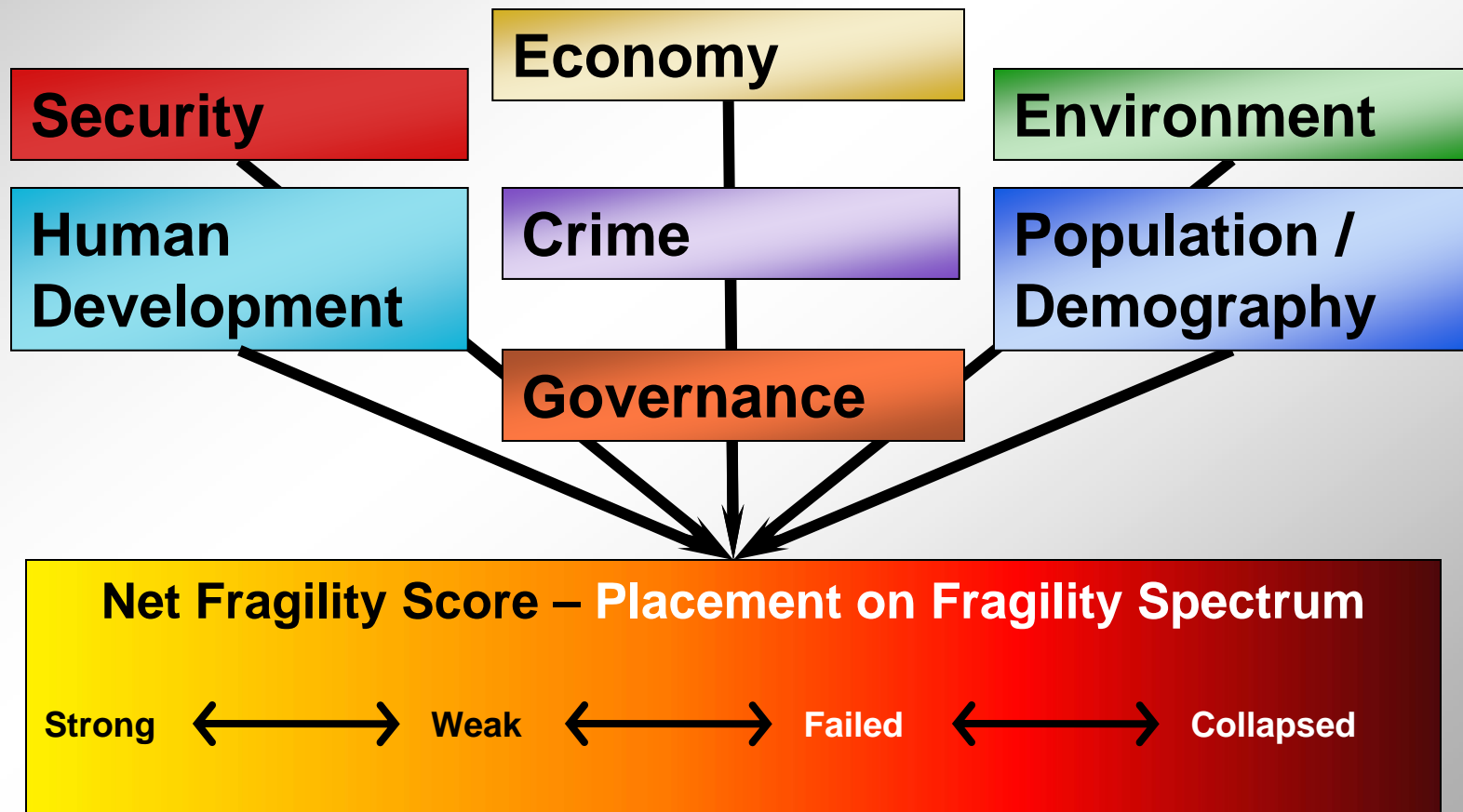
## Institutional Analysis



# Structural Data Methodology

## Indicator Clusters

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



# Indicator Clusters: Economy

## Key Indicators:

- Economic size, average wealth, and economic growth
- Stability, inflation and unemployment
- Economic inequality
- Female participation in the workforce
- Standard of living
- Level of remittances
- Infrastructure, service reliability
- Tax collection efficiency
- Investment climate
- External debt
- FDI
- Openness to trade
- Aid dependency
- Single commodity dependence
- Presence of informal economy/ black market

# Indicator Clusters: Human Development

## Key Indicators:

- HDI ranking
- Child malnourishment
- Consumption inequity
- Absolute levels of poverty
- Literacy
- Primary school enrollment by gender
- Education expenditures
- Health expenditures
- Health infrastructure
- Health professionals
- Food security and shortages
- Access to improved water
- Gender empowerment
- Rate of HIV/AIDS infection
- Infant mortality

## **Indicator Clusters: Governance**

### **Key Indicators:**

- Maturity of political system
- Degree of ethnic political dominance
- Political representation of women
- Strength of civil society
- Quality of bureaucracy
- Budget transparency
- Independent judiciary
- Corruption
- Freedom of the press
- Use of violence as a political tool
- Perceptions of government
- Political rights and civil liberties
- Party financing
- Participation in regional and international organizations
- Presence of populations at risk, refugees, IDPs
- Commitment to human rights



## **Indicator Clusters: Security**

### **Key Indicators:**

- **Number and intensity of international disputes**
- **History of civil unrest / war**
- **Political instability and violence**
- **Army loyalty**
- **Absolute, relative, and perceptual measures of terrorism**
- **Military strength**
- **Dependence on foreign power**
- **Regional instability**

# Indicator Clusters: Crime

## Key Indicators:

- Presence of organized crime
- Level of enforcement / quality of police forces
- Crime rate
- Efficiency of legal system
- Drug production
- Prevalence of sexual assault and gender-specific crime

## **Indicator Clusters: Environment**

### **Key Indicators:**

- Level and rate of deforestation
- Availability of arable land
- Points of access (number of useable highways, ports, and airstrips)
- Freshwater resources
- Number of bordering states

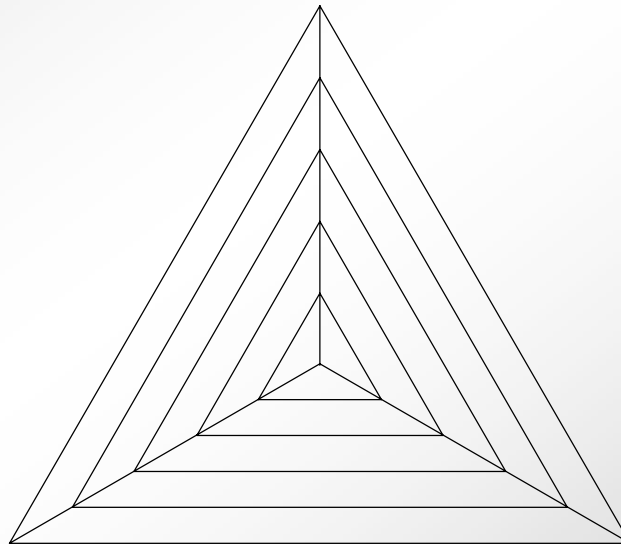
# Indicator Clusters: Population and Demography

## Key Indicators:

- Population growth rate
- Population density
- Ethnic and religious diversity
- Youth bulge
- Life expectancy
- Economic discrimination
- Perception of lost regional autonomy
- Urban growth rate, rural-urban migration

# Structural Data Methodology: Essential Properties of a State

**Authority**

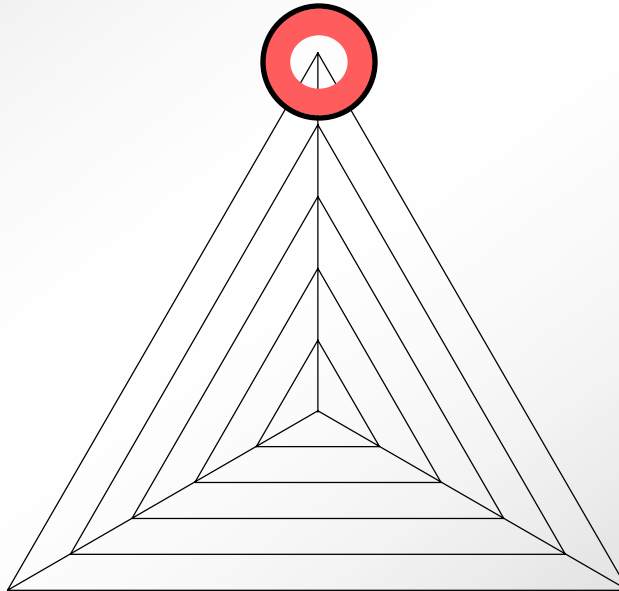


**Legitimacy**

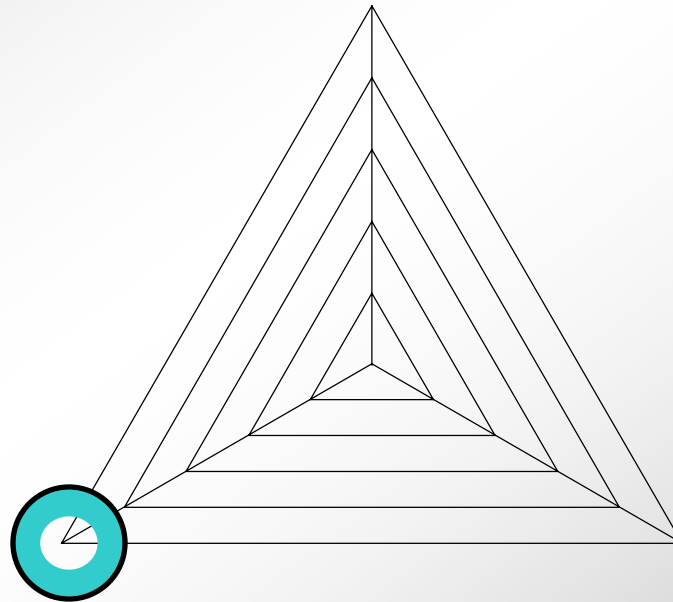
**Capacity**

# Essential Properties of a State: Authority

**The power to enact binding legislation over a population, possession of a monopoly over the legitimate use of force on national territory, and the capability to provide a stable, secure environment in which public, private and civil society interests can be realized.**

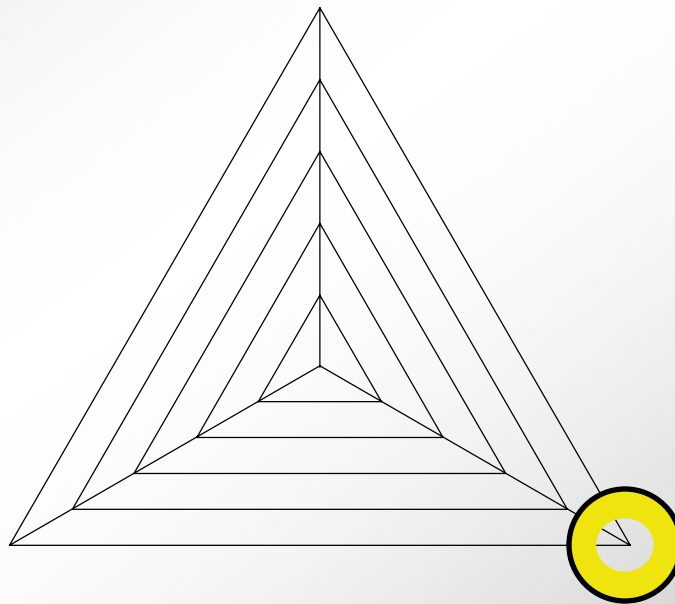


# Essential Properties of a State: Legitimacy



**The ability of a state to generate public loyalty, support, and acceptance of citizens through a voluntary, reciprocal arrangement of effective governance and citizenship, and the international recognition thereof.**

## Essential Properties of a State: Capacity

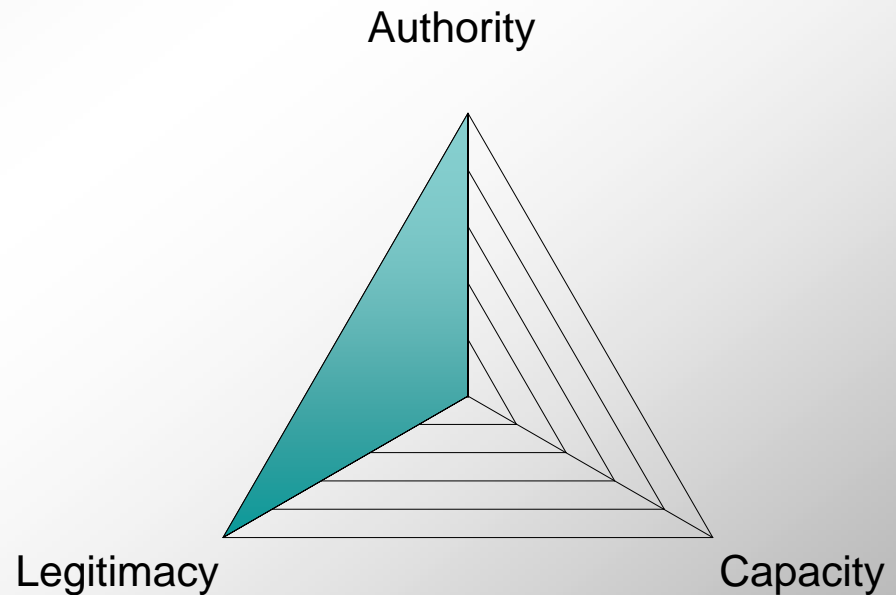


**The power or faculty of a state of mobilize and use resources, a basic competence in political and economic management and administration, and in regulating domestic affairs and conducting international transactions.**



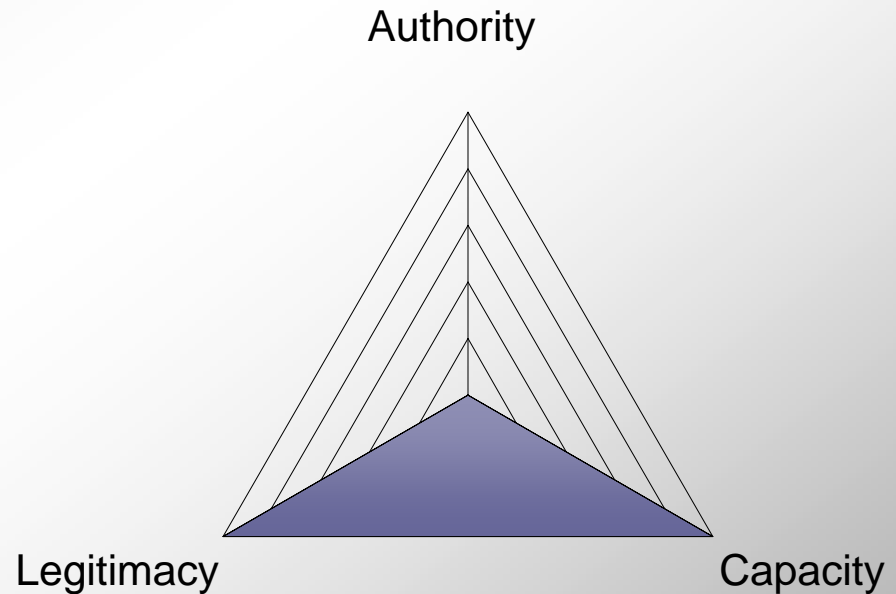
## Emergent Properties of a State: Integrity

States that have authority and are considered legitimate, but lack governing capacity are described as having “integrity.” Such states have the will, but lack the capacity, to make and operationalise policy decisions. Such states may adhere to a moral code of behaviour, but their lack of capacity inhibits effective governance.



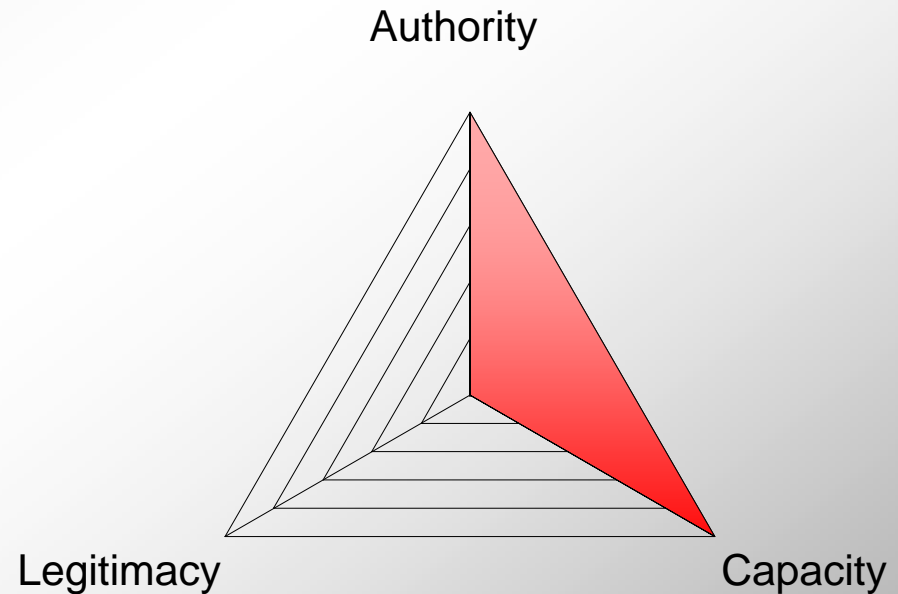
## Emergent Properties of a state: Governance

States that have capacity to function and are considered legitimate, but lack authority in decision-making or a monopoly over violence, exhibit governance. Such states may be able to regulate domestic affairs, and may be run by a duly recognized executive, but nonetheless lack control of certain groups in the population, territory, and/or the military.



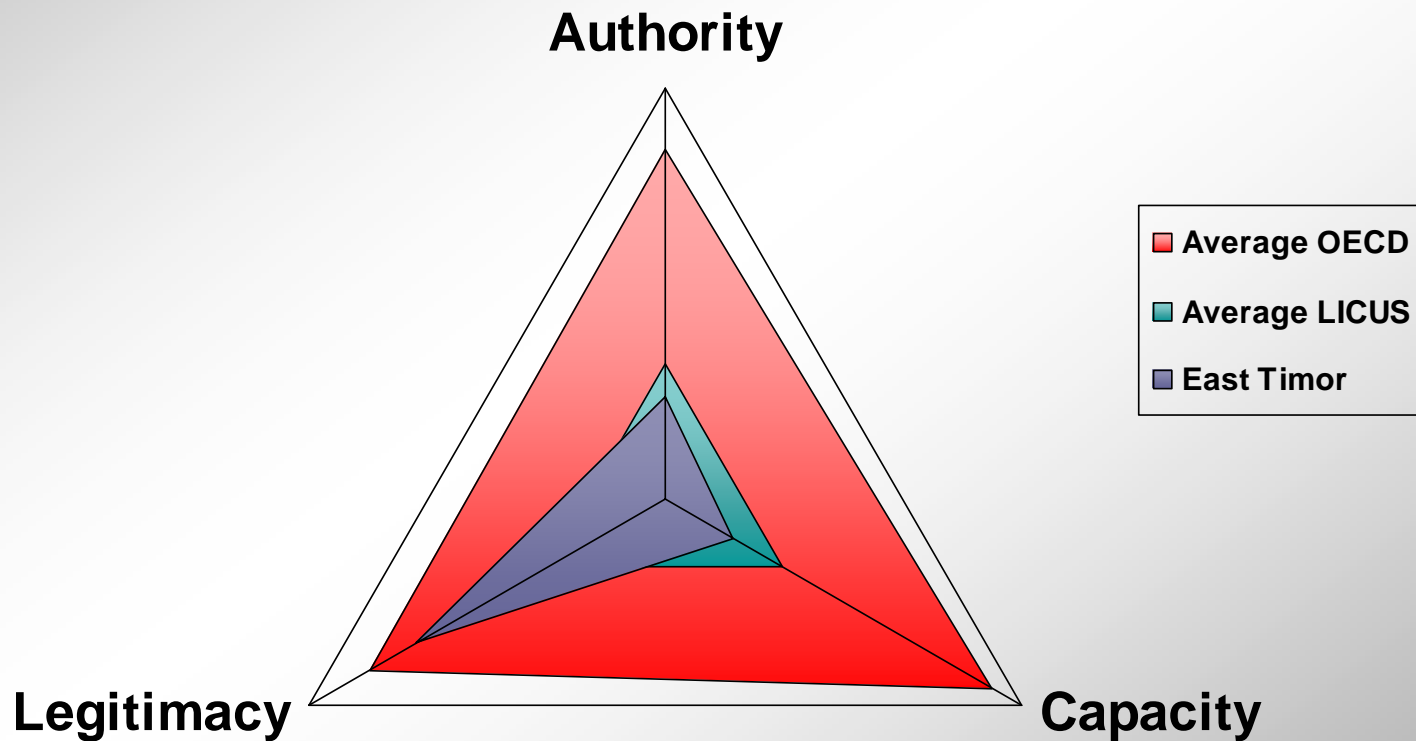
## Emergent Properties of a state: Effectiveness

**States that have capacity to function and authority over decision-making, but are not considered legitimate internally or externally can be described as effective. They may be capable of carrying out domestic affairs and express political interests, but lack a reciprocal perception of trust and governance between the rulers and the ruled.**



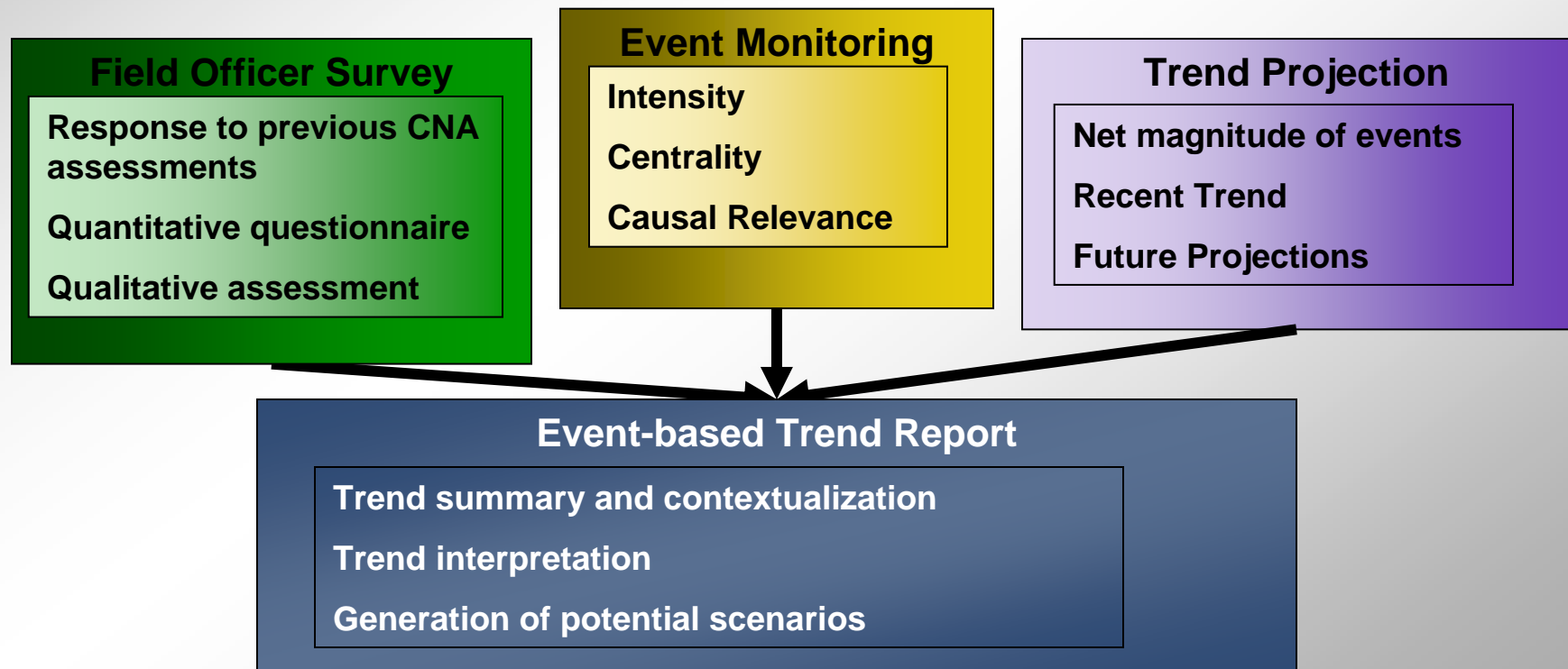
# A – L – C Structural Analysis

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

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 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 absolute 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.

## 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)

# CIFP Event-based Trend Analysis

## Event Monitoring

CIFP uses three distinct dimensions when scoring an event's net magnitude with respect to the risk of future violent conflict. Stabilizing events are scored positively; destabilizing events are scored negatively.

### Centrality:

- 1) Event is relevant to at least one politically active group within the state.
- 2) Event is relevant to two or more politically active groups within the state.
- 3) Event is relevant to two or more politically active groups, one of which is the central government.

### Causal Relevance:

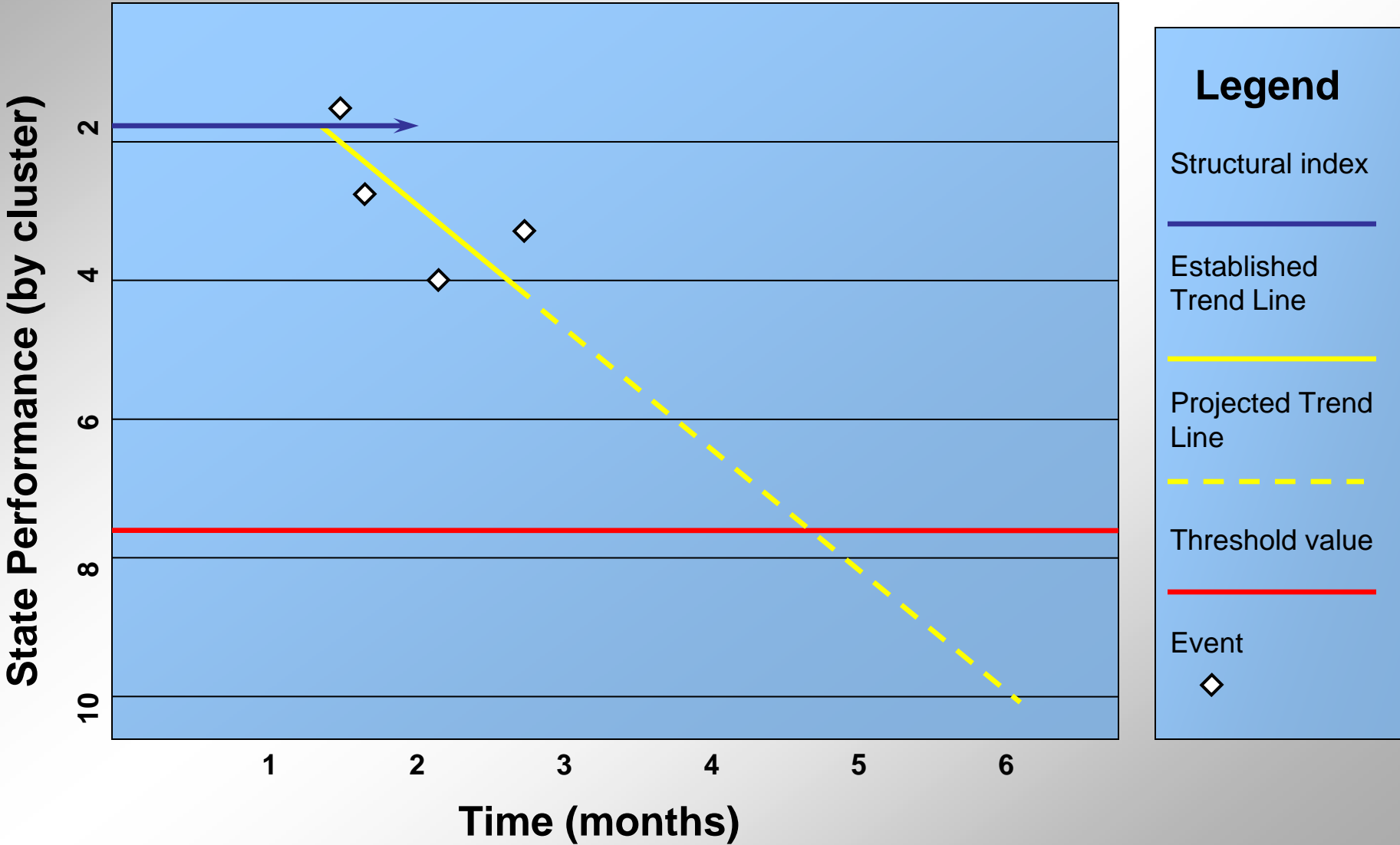
- 1) Event is relevant, but with no clearly delineable, direct causal linkage to risk of conflict.
- 2) Relevant, with a delineable, though indirect causal linkage to risk of conflict.
- 3) Relevant, with a delineable and direct causal linkage to risk of conflict.

### Intensity:

- 0) Event less intense than others in previous six months.
- 1) Event comparable to others in previous six months.
- 2) Event more intense than others in the previous six months.
- 3) Event more intense than others in the previous five years.

**Event Magnitude = Centrality + Causal Linkage + Intensity**

# Event-Based Trend Projection





# **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

## **Bringing it Together: Maximizing Canada's Engagement Effectiveness**

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

### **Relevance**

**How important is engagement to Canada, the partner state, the region, and the international community?**

### **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 its 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 a judgement checklist. 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.

## **Primary Assessment Criteria:**



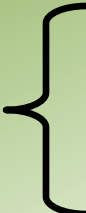

- Level of fragility
- Speed of decay
- Presence of allies
- Existence of achievable mandate
- Existence of policy window for action
- Potential for regional spillover
- Potential impact on Canadian national security
- Strategic diplomatic importance
- Opportunity costs

## **Secondary Assessment Criteria:**

- Size and population
- Potential for violent opposition
- Previous Canadian experience in theatre
- Existence of economic and cultural linkages to Canada
- Level of ODA
- Existence of significant diaspora in Canada
- Cost-effectiveness
- Need for Canadian areas of comparative advantage

## CIFP Potential Impact Assessment: Vertical Impact Analysis

In addition to considerations of direct Canadian impact, CIFP analyses potential impact of other actors in the extremely dynamic fragile state environment. Canadian engagement will only be effective if its efforts and objectives harmonize with those of other key players.

<b>International</b>		<ul style="list-style-type: none"><li>•Concerted action among intervening states/actors</li><li>•Existence of legal framework or precedent</li></ul>
<b>Regional</b>		<ul style="list-style-type: none"><li>•Networked cooperation among regional and subregional organizations</li><li>•Involvement of regional stakeholders</li></ul>
<b>National</b>		<ul style="list-style-type: none"><li>•Receptivity of government or vulnerable groups to external involvement</li><li>•Presence of significant local actors with a stake in successful intervention</li></ul>
<b>Local</b>		<ul style="list-style-type: none"><li>•Local actors and institutions engaged in stabilization efforts</li><li>•Presence of access points allowing engagement and resolution of long-term tensions and issues</li><li>•Trust and support of local community</li></ul>

## **CIFP Potential Impact Assessment: Operational Considerations**

**Any potential engagement must meet a number of criteria before deployment in order to ensure reasonable prospects of success. CIFP methodology explicitly incorporates this concept through an evaluation of the potential effectiveness of any Canadian engagement within a given fragile state environment.**

- **Clear objectives**
- **Clear, unambiguous mandate**
- **Appropriate, precise, and proportional rules of engagement**
- **Availability of sufficient resources**
- **Mechanisms to ensure effective interdepartmental and international cooperation**
- **Mechanisms to enable coordination with humanitarian organizations and other relevant NGOs**
- **Existence of viable “entry points”**
- **Possibility of timely preventive action**
- **Presence of domestic political support**
- **Existence of logistical and physical infrastructures**
- **Previous Canadian experience in theatre, including troops and capacity-building missions**
- **Existence of a common language or cultural ties.**

# 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 General | 13) Canada Corps       |
| 2) FAC   | 6) Parl. Centre        | 10) Dept. of Justice | 14) PPC                |
| 3) DND   | 7) CANADEM             | 11) START/GPSF       | 15) NGOs               |
| 4) ITCAN | 8) Elections<br>Canada | 12) DART             | 16) Universities       |
|          |                        |                      | 17) Business community |

## Types of Engagement:

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



# **CIFP Potential Impact Assessment: Types of Engagement (cont.)**

## **Human Development**

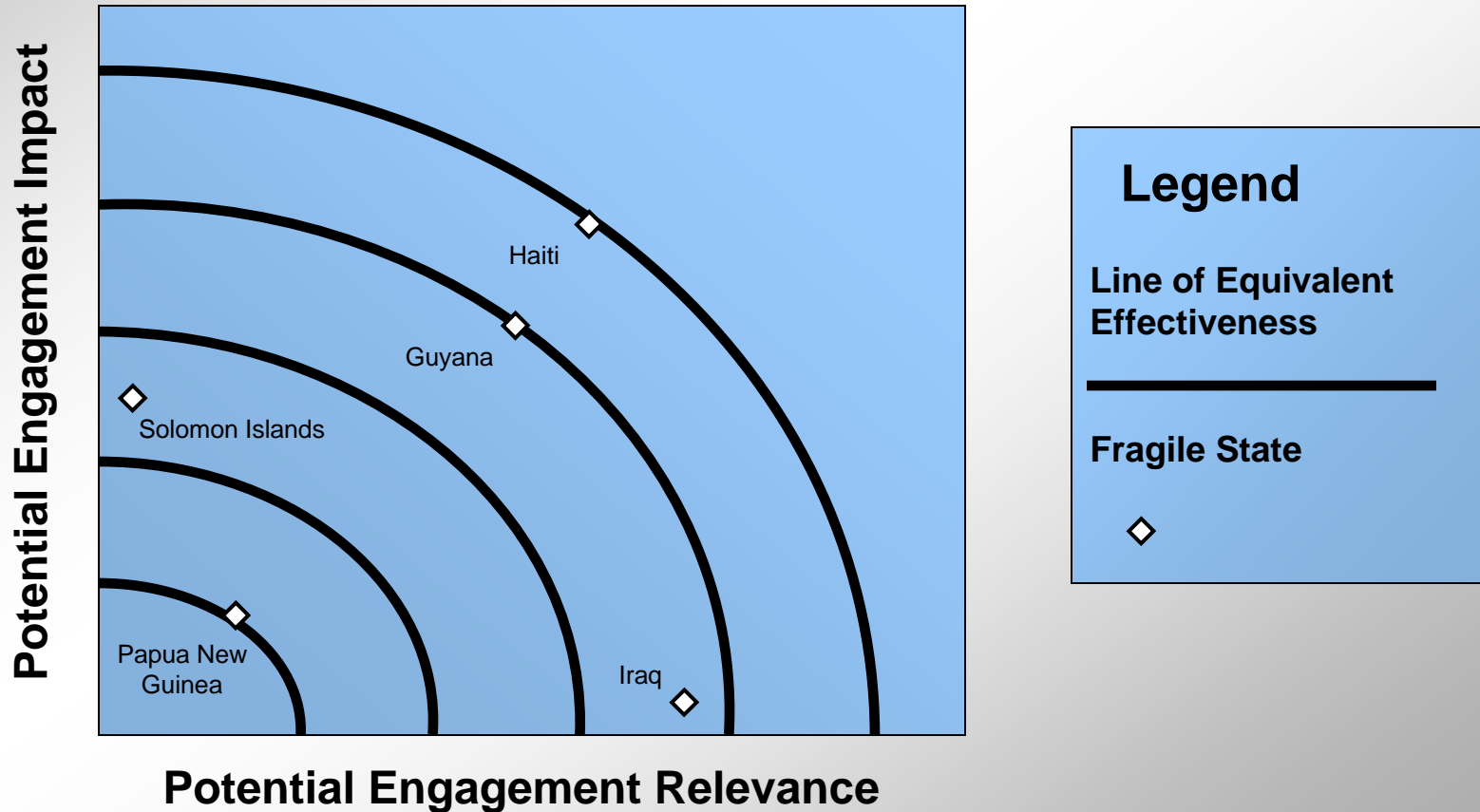
**Human capital development**  
**Civil society forums and workshops**  
**Humanitarian relief**  
**Human rights observers**  
**Inter-group women's cooperation**  
**Inter-group development projects**  
**Targeted anti-poverty programs**  
**Dissemination of information about sexual health**  
**Refugee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

## **Governance**

**Democracy-institution building**  
**Judicial reform and legal assistance**  
**Electoral assistance and election 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**

# Bringing it Together: 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.





# CIFP Net Assessment: Bringing structural and event data together with engagement effectiveness analysis

