Assessing State Failure:

Bridging the Gap Between Early Warning and Policy Implementation

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January 20, 2004

Is Early Warning Difficult/Necessary?

1. Cost Effectiveness Argument

2. Targeted Policy Options

3. Mainstreaming

4. Inverse U Curve - signals/noise ratio

5. Type I and Type II Errors

Current Issues

Timely and Relevant Analysis

Policy Impact

Methodologically Sound and Sustainable Approach

Applications for Risk Assessments

- early warning capabilities require a systematic, multi factor, and integrated approach
- the necessary framework would incorporate both the historical context and specific local interactions associated with failure
- CIFP risk assessments focus on structural transformation, and are complementary to early warning methodologies, which focus on anticipating violent escalations and providing strategic responses

Analytical Needs

a) an understanding of three elements: (i) conflict generating factors as specified above; (ii) stakeholder agendas and grievances; and (iii) peace generating factors (structural and dynamic peace developments, effectiveness of peace-making/building activities, etc.) and;

b) a range of data sources and analytical methods, such as (i) micro-level assessments (e.g. events and perceptions not covered by the media); (ii) intermediate and micro-level events (such as those covered by newswire reports e.g. Reuters, ITAR-TASS, BBC and expert analysts); and (iii) macro-level trends using structural data and leading indicators

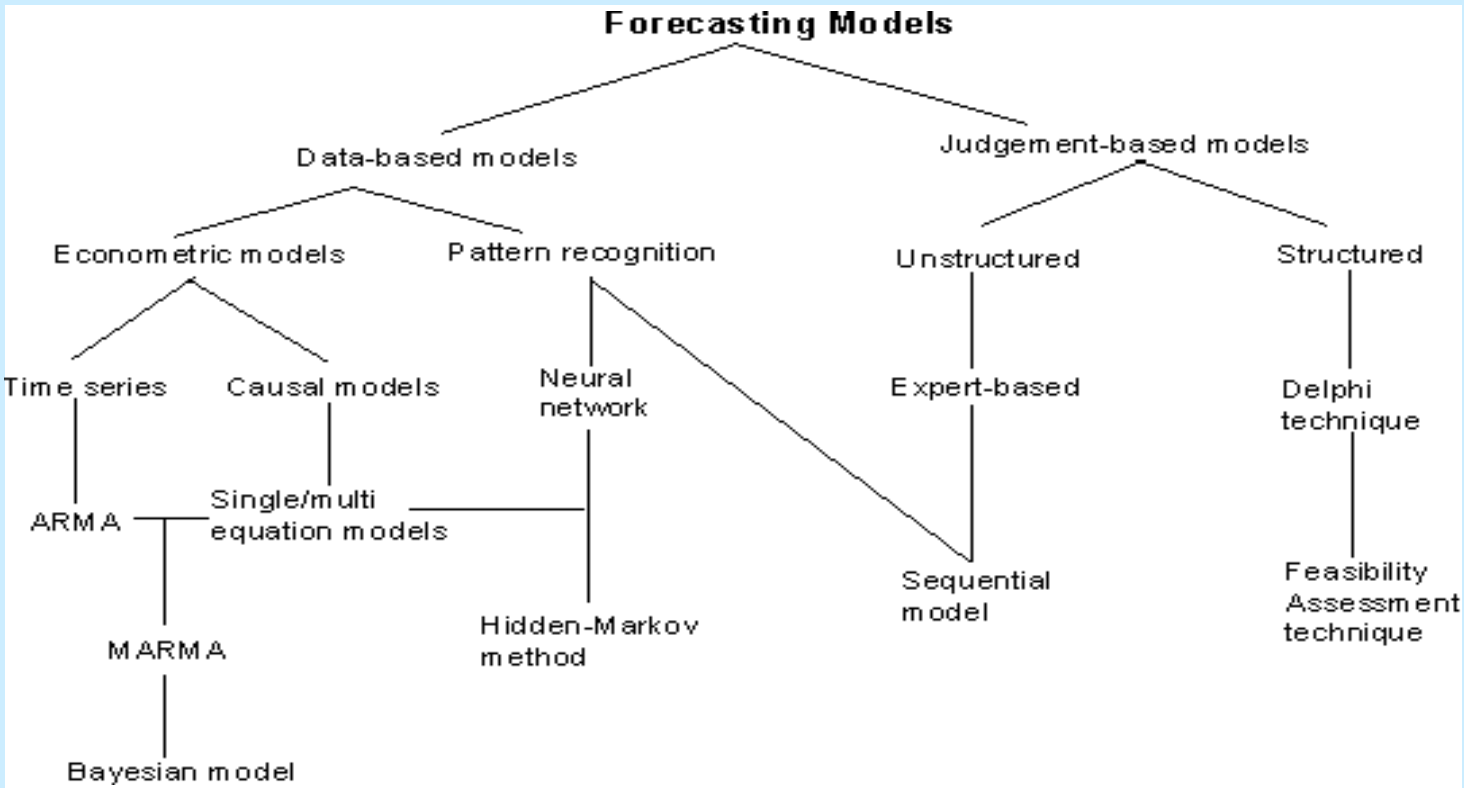
Early Warning/Risk Assessment Typology

Macro or long-term processes associated with system-structure transformations and the associated problems of the emergence of weak states;

Intermediate mechanisms associated with institutional viability and state weakness; and

Micro or short term selection processes and mechanisms that account for preferences of violence over pacific forms of strategic interactions and the subsequent escalation and/or duration of ethnic hatreds, violence, repression, and war at specific points in time.

Early Warning/Risk Assessment Typology



Early Warning/Risk Assessment Typology

1a) · **Macro Level evaluation** of structural indicators (econometrically or through pattern recognition techniques) (e.g. parts of the State Failure Project; PIOOM; CIFP; HEWS; ICB; FIRST, Rummel's Democide data-base, Uppsala's Conflict data-base);

1b) · **Macro Level time** series of leading indicators (e.g. IOM; Refworld; FAO's GIEWS; Reliefweb; the UN system-wide Earthwatch; HazardNet for disasters; the global early warning system for displaced persons -GEWS);

Early Warning/Risk Assessment

Typology

2a) · **Intermediate Level** conjunctural models that track changes in pre-specified events and interactions between groups (eg conflict/cooperation, genocide, non-violent protest) using machine-coded data, pattern recognition and neural networks (e.g. PANDA; KEDS);

2b) · **Intermediate Level** structured (Delphi) and subjective models, which utilize a team of experts who identify key actors and estimate their future position on a given issue (regime stability, turmoil likelihood, investment restrictions and trade restrictions) with regards to their power to influence the outcome, the importance (salience) they attach to the issue, and the certainty or firmness of the actor's orientation (eg, Decision Insights; Political Risk Services)

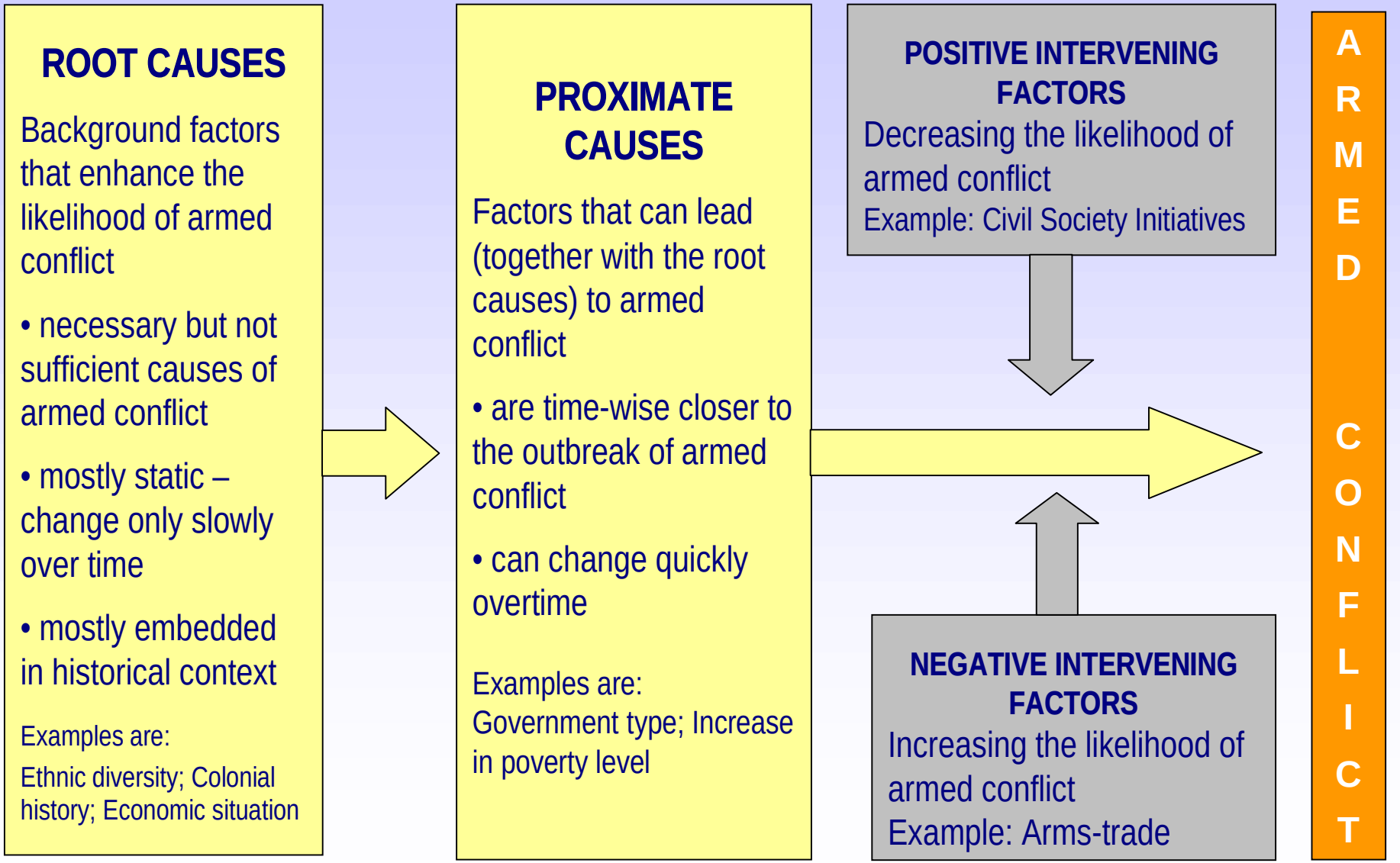
Early Warning/Risk Assessment Typology

3a) · **Micro Level** sequential models which develop risk assessments based on tracking of specific behaviours - using accelerators (e.g. parts of State Failure; CEWS);

3b) · **Micro Level** response models which evaluate outside response to conflict and develop feasibility assessments based therein (e.g. Helen Fein's Life Integrity Violations Approach; IDRC's PCIA);

3c) · **Micro Level** field reporting by NGO networks (e.g. FEWER; FAST; ICG, CIPDD) using structured and/or unstructured reporting techniques

2 FAST's Analytical Model to Understand Armed Conflict

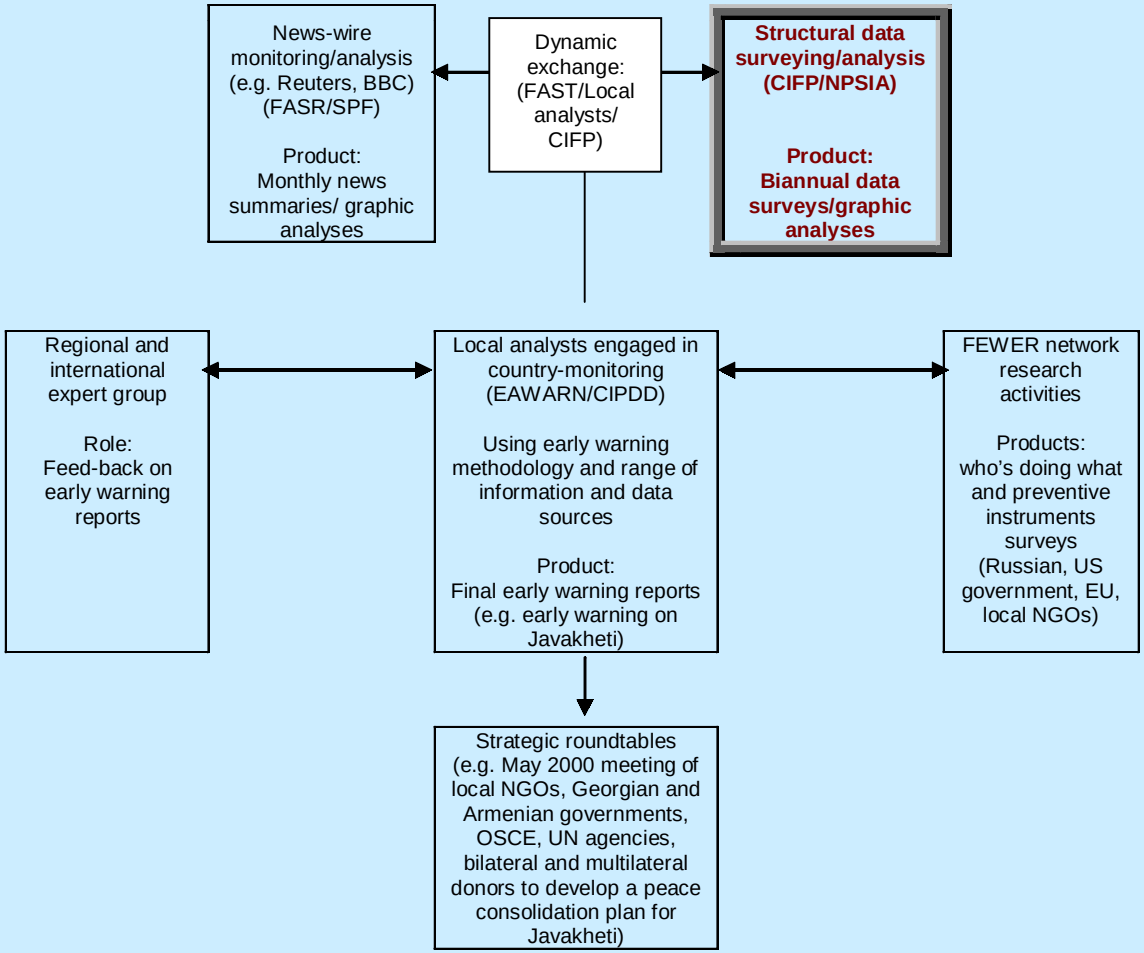


Integration and Collaboration

- **Allows areas of high risk** to be identified in advance of a serious conflict outbreak
- **Enables local analysts** and events-monitoring systems to focus on where to expect triggering or catalyzing events to come from
- **Helps policy makers** and other stakeholders in potentially volatile environments to identify conflict-generating factors, and to rapidly assess possible responses to the situation

FEWER/CIFP Example

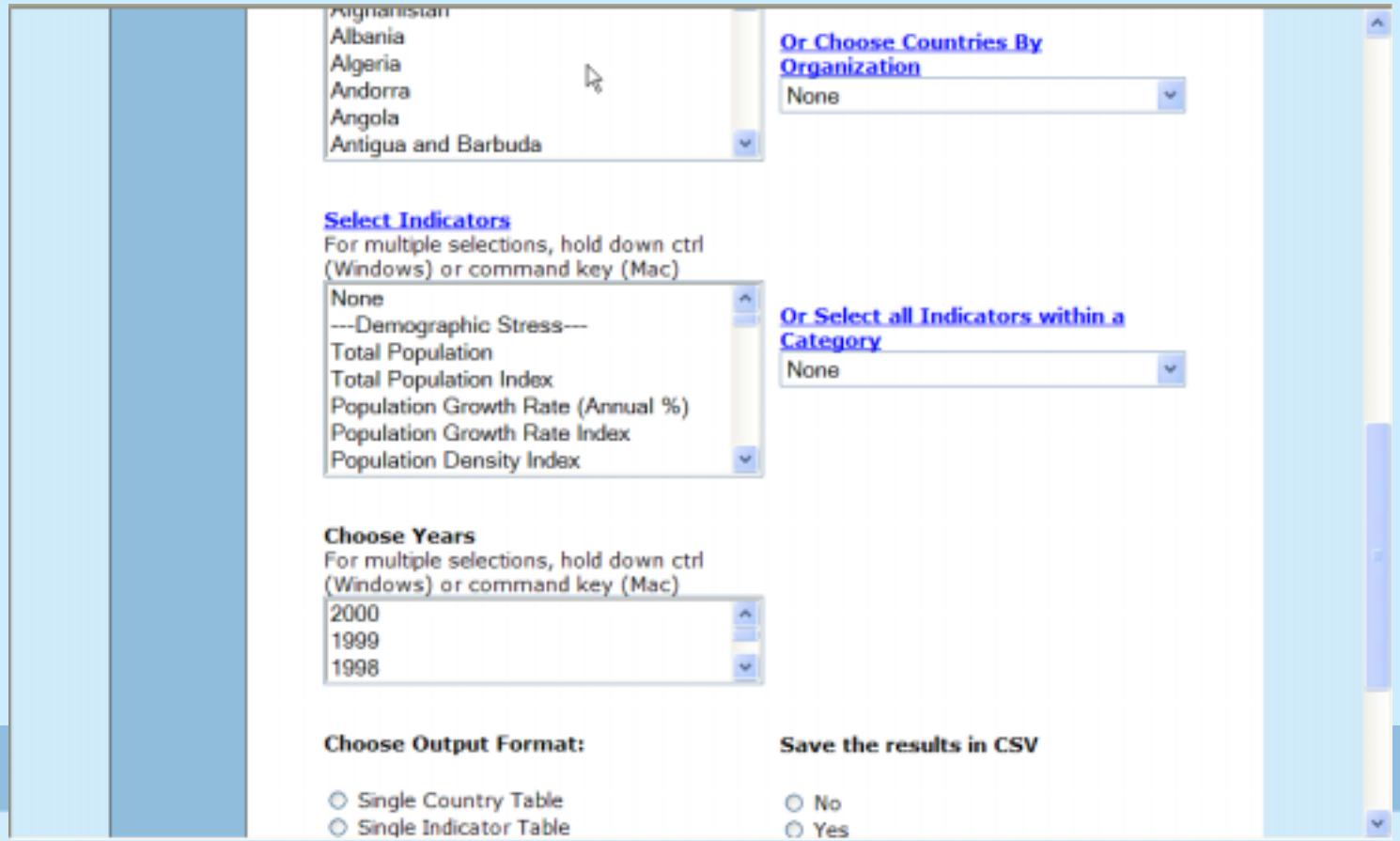
Illustration. ***Early warning systems: Emerging good practice.***



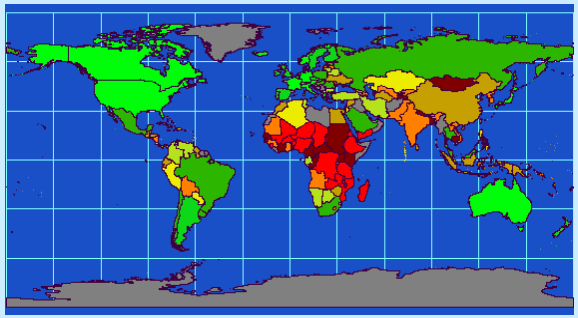
Risk Assessment Methodology

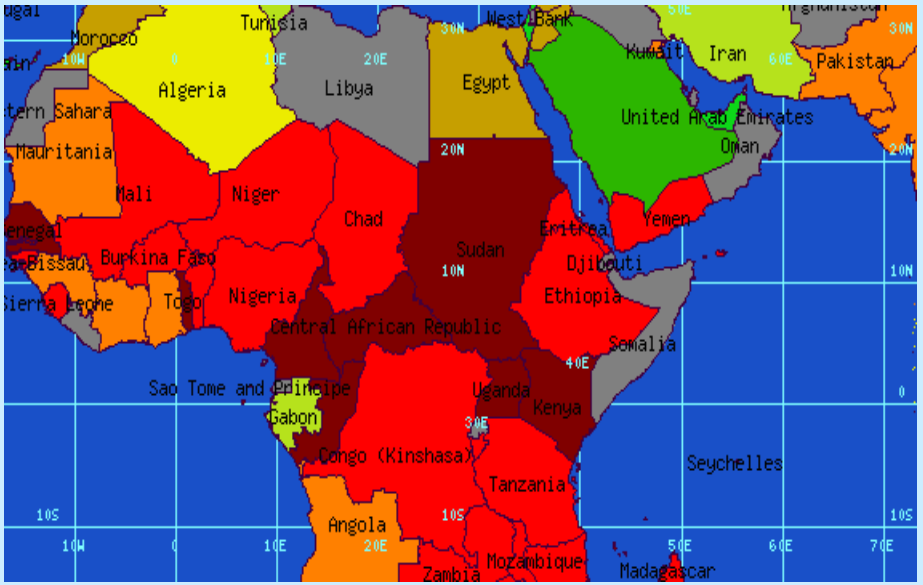
- Indicators are selected according to key literature and experts in the field of conflict prevention and state failure
- The raw data is indexed in order to provide a relative risk comparison, using a 1-9 scale of indices
- A variety of open sources provide the data, including the World Bank, the United Nations Development Programme, and the Stockholm International Peace Research Institute

Online Data Query



CIFP Map Viewer: GDP/Capita 1996



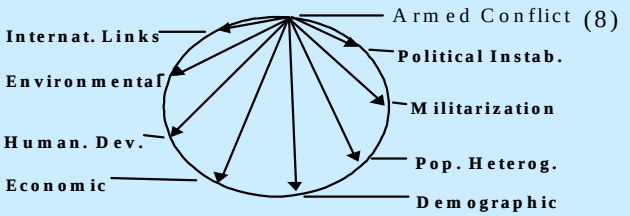


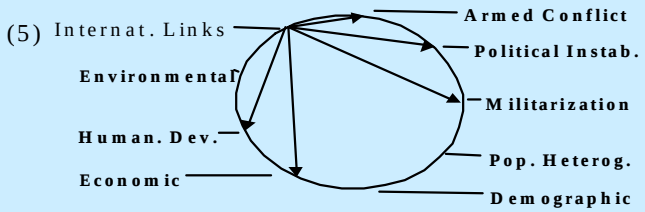
Calculation of Risk Scores for Leading Indicators

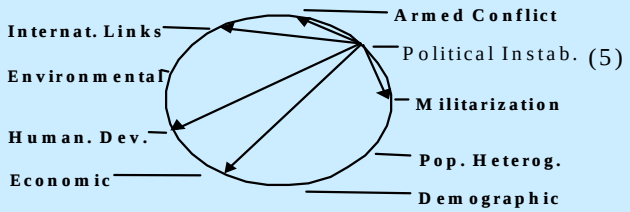
Global Rank Score [1] (Base Scale)		Trend Score (Modifier)		Volatility Score (Modifier)		Indicator Risk Score (Sum)	
High Concern	9	Worsening	+1	High	+2	Very High Risk	12
	8	No Change	0	Moderate	+1		11
	7	Improving	-1	Stable	0		10
Moderate Concern	6					High Risk	9
	5						8
	4						7
Low Concern	3					Medium Risk	6
	2						5
	1						4
						Low Risk	3
							2
							1
							0

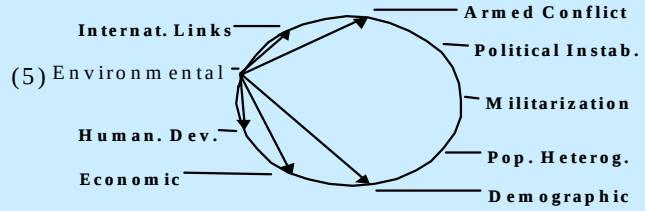
Linkages Between Issue Areas

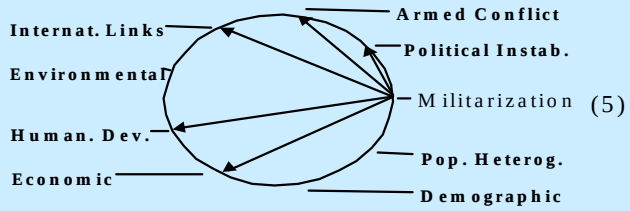
Resulting Weights

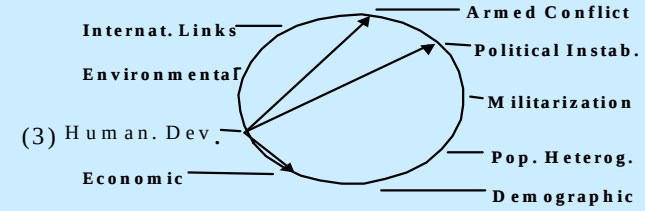


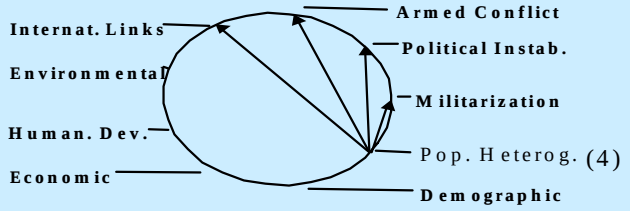


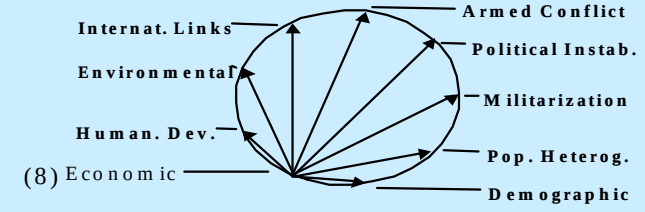


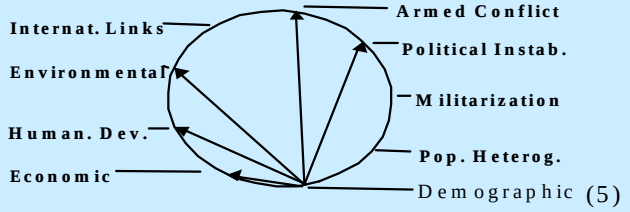








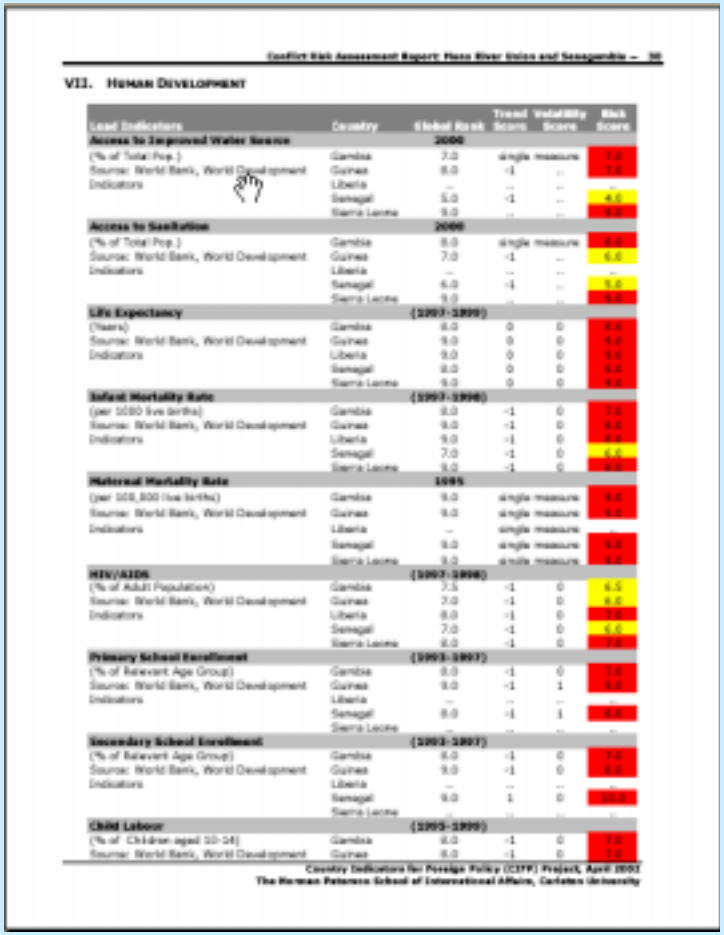




Great Lakes Example

Burundi	7.79	High Risk
Democratic Republic of Congo	7.79	High Risk
Kenya[α]	6.18	Medium Risk
Rwanda	7.40	High Risk
Tanzania[β]	6.35	Medium Risk
Uganda	6.74	High Risk

Burundi		
History of Armed Conflict	9.27	High Risk
Governance and Political Instability	8.25	High Risk
Economic Performance	8.20	High Risk
Human Development	9.71	Very High Risk
Environmental Stress	9.00	High Risk
International Linkages	6.80	High Risk
Democratic Republic of Congo		
History of Armed Conflict	8.93	High Risk
Governance and Political Instability		
Population Heterogeneity	8.67	High Risk
Demographic Stress	6.67	High Risk
Economic Performance	7.29	High Risk
Human Development	8.63	High Risk
International Linkages	6.6	High Risk
Kenya		
Governance and Political Instability	8.36	High Risk
Population Heterogeneity	8.33	High Risk
Economic Performance	7.04	High Risk
Human Development	8.14	High Risk
Environmental Stress	7.67	High Risk
Rwanda		
History of Armed Conflict	6.77	High Risk
Governance and Political Instability	8.85	High Risk
Militarization	6.68	High Risk
Demographic Stress	7.17	High Risk
Economic Performance	6.83	High Risk
Human Development	8.78	High Risk
Environmental Stress	9.67	Very High Risk
International Linkages	7.10	High Risk
Tanzania		
Governance and Political Instability	7.44	High Risk
Population Heterogeneity	9.00	High Risk
Economic Performance	6.93	High Risk
Human Development	8.35	High Risk
Environmental Stress	6.67	High Risk
Uganda		
History of Armed Conflict	7.63	High Risk
Governance and Political Instability	6.80	High Risk
Population Heterogeneity	7.33	High Risk
Demographic Stress	7.37	High Risk
Human Development	7.56	High Risk
Environmental Stress	7.00	High Risk



VII. Human Development

Lead Indicators	Country	Global Rank	Trend Score	Volatility Score	Risk Score
Access to Improved Water Source		**2000**			
(% of Total Pop.)	Gambia	7.0	single measure		7.0
Source: World Bank, World Development Indicators	Guinea	8.0	<1	..	7.0
	Liberia	..	..	..	..
	Senegal	5.0	<1	..	4.0
	Sierra Leone	9.0	..	..	9.0
Access to Sanitation		**2000**			
(% of Total Pop.)	Gambia	8.0	single measure		8.0
Source: World Bank, World Development Indicators	Guinea	7.0	<1	..	6.0
	Liberia	..	..	..	..
	Senegal	6.0	<1	..	5.0
	Sierra Leone	9.0	..	..	9.0
Life Expectancy		**(1997-1998)**			
(Years)	Gambia	8.0	0	0	8.0
Source: World Bank, World Development Indicators	Guinea	9.0	0	0	9.0
	Liberia	9.0	0	0	9.0
	Senegal	8.0	0	0	8.0
	Sierra Leone	9.0	0	0	9.0
Infant Mortality Rate		**(1997-1998)**			
(per 1000 live births)	Gambia	8.0	<1	0	7.0
Source: World Bank, World Development Indicators	Guinea	9.0	<1	0	8.0
	Liberia	9.0	<1	0	8.0
	Senegal	7.0	<1	0	6.0
	Sierra Leone	9.0	<1	0	8.0
Maternal Mortality Rate		**1995**			
(per 100,000 live births)	Gambia	9.0	single measure		9.0
Source: World Bank, World Development Indicators	Guinea	9.0	single measure		9.0
	Liberia	..	single measure		..
	Senegal	9.0	single measure		9.0
	Sierra Leone	9.0	single measure		9.0
HIV/AIDS		**(1997-1998)**			
(% of Adult Population)	Gambia	7.0	<1	0	6.5
Source: World Bank, World Development Indicators	Guinea	7.0	<1	0	6.0
	Liberia	8.0	<1	0	7.0
	Senegal	7.0	<1	0	6.0
	Sierra Leone	8.0	<1	0	7.0
Primary School Enrollment		**(1993-1997)**			
(% of Relevant Age Group)	Gambia	8.0	<1	0	7.0
Source: World Bank, World Development Indicators	Guinea	9.0	<1	1	8.0
	Liberia	..	..	..	..
	Senegal	8.0	<1	1	8.0
	Sierra Leone	..	..	..	..
Secondary School Enrollment		**(1993-1997)**			
(% of Relevant Age Group)	Gambia	8.0	<1	0	7.0
Source: World Bank, World Development Indicators	Guinea	9.0	<1	0	8.0
	Liberia	..	..	..	..
	Senegal	9.0	1	0	10.0
	Sierra Leone	..	..	..	..
Child Labour		**(1993-1999)**			
(% of Children aged 10-14)	Gambia	8.0	<1	0	7.0
Source: World Bank, World Development Indicators	Guinea	8.0	<1	0	7.0

Country Indicators for Foreign Policy (CIFP) Project, April 2002
The Norman Paterson School of International Affairs, Carleton University

Sample Table:

Human Development in West Africa

Early Warning Brief: Contents

- Local Monitoring Information Analysis
- Most Salient and Weighted Structural Risk Factors (absolute and relative changes)
- Negative/Positive Contributing Factors
- Stakeholders (agendas and positions)
- Scenarios (best, worst, most likely)
- Policy Options
- Narrative

Early Warning Briefs

III. Demographic Risk

1. Population Growth and Density Pressures

The size, density, distribution and composition of a country's population can serve as structural pre-conditions for conflict. Changes in these factors, such as rapid rates of growth and urbanization, can also accelerate the conflict development process through heightening competition for access to physical and social resources, due to increasing scarcity, growing inequality, and environmental degradation.

Figure IIIa: Population Projections to 2025

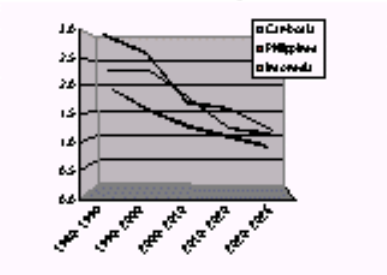
	Total Population in Millions - 2000 (% of Regional Total)	Projected Population in Millions - 2025 (% of Regional Total)
Indonesia	212.1 (40.9%)	273.9 (40.0%)
Philippines	76.8 (14.7%)	108.3 (15.8%)
Cambodia	12.2 (2.3%)	16.5 (2.4%)
South-East Asian Region	518.5 (8.4% of World Total)	685.3 (8.7% of World Total)

Source: UNEP/A (2001) State of the World's Population.

Indonesia is the fourth most populous country in the world. While the population growth rate is relatively moderate, and has been declining steadily over the past decade, the immense size of the population has meant that even such moderate levels of growth pose significant risks, especially when combined with recent poor economic performance (see Section II) and declining environmental indicators (see Section VII).

While population growth rates have begun to decline in both the Philippines and Cambodia as well, these two countries are not as far along the "demographic transition" from high to low birth and death rates as is Indonesia. In Cambodia and the Philippines, while both fertility and mortality rates have fallen, the rate of the former has outpaced the latter, resulting in growth rates that remain among the highest in the region.

Figure IIIb: Continued Declines in Population Growth Rates Expected



Source: ESCAP (2001) Population Data Sheet

While the long-term trend across the region is towards continued decreases in population growth rates (see Figure IIIb), population pressures nonetheless remain a significant concern in many respects. Population densities will continue to increase to levels that pose ever more serious environmental and social risks, particularly in the cases of Indonesia and the Philippines, which both have a highly uneven population distributions.

Figure IIIc: Regional Population Densities

OUTPUTS: Background and Methodological Reports

- Early Warning Methodology Report **(01/07/2000)**
- CIFP Needs Assessment Report (01/07/2000)
- Early Warning Methods: Background Report and Methodological Notes (Summer 2000)
- Early Warning Methodology Report (01/07/2000)
- Preliminary Selection of Indicators: Discussion Paper (10/12/2002)
- Assessing Country Risk: Creating an Index of Severity (01/05/2001)
- Risk Assessment Template (01/08/2001)
- Conflict Prevention, Gender and Early Warning: A Work in Progress (11/02/2002)
- CIFP Methodology, Data Descriptions, Data Sources
- CIFP Risk Assessment Indicator Definitions

Some Recent Regional Conflict Risk Assessment Reports

- *Conflict Risk Assessment Report: Cambodia, Indonesia, Philippines* (01/01/2002)
- *Conflict Risk Assessment Report: West Africa: Mano River Union and Senegambia* (01/04/2002)
- *Conflict Risk Assessment Report Sub-Saharan Africa* (4/11/2002)
- *Conflict Risk Assessment Report African Great Lakes* (4/11/2002)
- *Conflict Risk Assessment Report: Bulgaria, Romania, Slovakia, and Ukraine* (8/11/2002)

IMPACT

Timely Release of Reports

Standardized Methodology

Operationally Relevant

Strategic Response