The Stability Assessment Framework: Designing Integrated Responses for Security, Governance and Development

Prepared by the Clingendael Institute for the Netherlands Ministry of Foreign Affairs

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Preface

Introduction

Since the 1990s it has become clear that a very important link exists between peace, security, and development when it comes to formulating national and international policies. Poverty, extreme inequality, rapid population growth, environmental degradation, poor governance, and other problems make societies more vulnerable and susceptible to conflict and breakdown. Once instability increases and violence erupts, the options for achieving sustainable peace are reduced considerably. Situations of instability, therefore, must be given appropriate international attention.

One of the most important challenges today is to design an integrated policy response that enables governance, security, and socioeconomic development in unstable societies. The Netherlands Government has recently developed new instruments for such an integrated approach.

The Stability Fund is a new Dutch financial-institutional instrument that allows flexibility in supporting activities within the peace-security-development nexus. Such activities may fall outside clearly delineated ODA-budgets and can encompass military or 'hard' security measures as well as 'soft' developmental ones (see Annex I).

On the analytical side, a practical tool has been developed: the *Stability Assessment Framework* (SAF). The SAF aims to help practitioners and decision-makers develop an integrated strategy for sustainable stability. The nature, steps, and applications of the SAF are presented in this booklet.

A Note on Method Development and Testing

The SAF was developed by the Conflict Research Unit (CRU) of the Netherlands Institute of International Relations 'Clingendael' at the request of the Netherlands Ministry of Foreign Affairs. The SAF method has not been developed from scratch, however. In order not to duplicate efforts, it has incorporated the experiences of a wide variety of early warning models, assessment frameworks, and practitioners' guidelines that have become available over the years. Most informative have been the approaches developed and used by the British Department for International Development (DfID)[1] and International Alert/SaferWorld.[2]

The SAF methodology for assessing stability-especially the trends that affect stability-is drawn from the extensive conceptual and methodological work of The Fund for Peace, which has been involved in a pilot project testing the SAF in a number of workshops. The Fund for Peace adapted its methodology to fit the particular requirements of the SAF and the Netherlands Ministry of Foreign Affairs. For this reason, the following chapters differ in some respects from the original, copyrighted manual prepared by The Fund for Peace.[3]

The SAF method has been tested within the Netherlands Ministry of Foreign Affairs and applied to three country cases: Mozambique (June 2002), Rwanda (October

2002 and November 2003), and Kenya (October 2003). The Royal Netherlands Embassies in these countries have played a crucial role in testing, evaluating, and adapting the SAF. Their time and effort are greatly appreciated. A special word of thanks goes out to Mr. Jaime de Bourbon de Parme and Mr. Saïd Fazili of the Peace-building and Good Governance Division of the Netherlands Ministry of Foreign Affairs and to Mr Georg Frerks of the Clingendael Institute, for their extensive input during the pilot phase of the SAF, the adaptations in methodology and the finalization of this publication.

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[1] DFID (2002) *Conducting Conflict Assessments: Guidance Notes*. London: Department for International Development.
[2] Africa Peace Forum, Center for Conflict Resolution, Consortium of Humanitarian Agencies, FEWER, International Alert and SaferWorld (2004) *Conflict-sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding. A Resource Pack*.
[3] Pauline Baker and Angeli Weller (1998) *An Analytical Model of Internal Conflict and State Collapse: Manual for Practitioners*. Fund for Peace, Washington, D.C.

Content

Executive Summary

In the new millennium, many parts of the world are characterized by instability, insecurity, problems of governance, and underdevelopment. Dealing with such situations of instability is a difficult but unavoidable reality for many organizations, which are challenged by the complexity of both the problems and the solutions required. International donor organizations increasingly struggle with ways to give due attention to these problems in their policy design. If the international community wants to engage in unstable environments (including fragile and/or post-conflict states), it must develop well-suited and well coordinated policy interventions for achieving good governance, security, and socioeconomic development.

The Stability Assessment Framework (SAF) offers an analytical tool for stability analysis and strategic planning that helps develop the institutional capacities needed for an integrated policy response in a particular country. Policymakers, decision-makers, and practitioners working in various organizations can benefit from introducing the SAF in their own organization's project cycle.

The Stability Assessment Framework is made up of three major parts, which are reflected in the three parts of this booklet:

Part One provides guidelines for customizing the SAF to the user's needs by formulating a concrete Terms of Reference.

Part Two consists of the following mapping and analysis exercises that provide input for a *draft* Reference Document:
- a trend analysis of twelve important indicators for instability that will provide a comprehensive sketch of the situation and help identify priority concerns;
- an institutional analysis to highlight the effectiveness and legitimacy of major institutions such as the police, civil service, and the judiciary;
- a political actor analysis that includes the interests and activities of the main political actors in the country; and finally:
- a policy assessment outlining the past and ongoing activities of the organization conducting the SAF and of other international actors.

The *draft* Reference Document produced from these analyses will be used in the subsequent stages.

Part Three of the SAF includes activities that normally take place in a workshop format. During the workshop, the *draft* Reference Document will be reviewed and discussed by the participants in order to consolidate a *final* Reference Document, reflecting the joint, but not necessarily unanimous, position on:
- the country's stability situation;
- the legitimacy and effectiveness of its major institutions;
- the role played by the main domestic actors, and:
- the activities of major international organizations.

This material will be used to develop a strategy that addresses issues in an integrated way. The approach will be outlined in a Strategy Document that prioritizes the problems and policy interventions needed to address them.

The structure of the Stability Assessment Framework and the various steps involved are captured schematically in the figure below.

Organization's Objectives and Policies			
Headquarter and field office	Consultant	Stakeholders	Headquarter field office (partners)
		Final Reference Document	**Strategy Development**
Terms of Reference	**Mapping and Analysis**	**Workshop**	Step 1: Prioritize core needs and actors
• Rationale • Methods and modalities • Selection of participants • Expected outputs • Timeline	• Trend analysis on 12 indicators • Institutional analysis • Political actor analysis • Overview of (own and others') policy interventions	Step 2: Assessment of international policy interventions Step 1: Consolidate trend, institutional and political actor analysis	Step 2: Identify gaps, requirements and partners Step 3: Identify niches, define constraints and discuss options
			Strategy Document
		Draft Reference Document	Implementation and follow-up

The Stability Assessment Framework, as presented in this booklet, reflects a generic method that can (and should) be adapted and fine-tuned to fit the particular purposes and institutional requirements of different organizations. The various parts of the SAF can be applied for stability assessment and context analysis *per se*, as a tool for political dialogue, to develop conflict-sensitive policy plans and implementation schemes, or to enable multi-donor cooperation. It can, in principle, be applied by any organization working in fragile environments.

1.   Introduction

1.1 Purpose

Since the early 1990s, the international community has increasingly recognized that fragile states and internal violent conflict are obstacles to both security *and* development. Fragile states might be a higher risk for harbouring terrorists, for example, but their instability and conflicts also inhibit development. In the same vein, under-development, inequality, and exclusion can create breeding grounds for conflict and instability. Because of these connections, development co-operation has begun to take on a larger role in conflict settings. Donor agencies, non-governmental organizations, and development practitioners now operate alongside military, political, and diplomatic actors in these situations. Each actor works in a specialized field of operation, but their joint objective is to establish sustainable stability.

Sustainable stability is here defined as a situation wherein:
1. The state upholds the rule of law, uses its public sector for equal distribution of (social) service delivery to its citizens, and is therefore ultimately perceived as legitimate [*governance*];
2. The state holds the monopoly on violence, using democratically controlled security forces that are able to guarantee the security of its citizens throughout its territory and are capable of holding off threats from external actors [*security*];
3. Economic development, natural resource management, and basic social services (healthcare, education, etc.) are provided for [*socioeconomic development*].

In order to reach the goal of sustainable stability, intervening organizations should apply an integrated approach that includes all three policy aspects (governance, security, and socioeconomic development). Analytical tools and strategic planning frameworks such as this SAF will help intervening organizations design integrated policies and co-ordinated responses. In this way, it serves three purposes in particular: it helps tackle a strategic deficit in policy interventions; it helps build in-house capacities for analysis, awareness and response capacity; and as a process management tool it helps to mainstream stability promotion into the organization's policy planning cycle.

1.1.1 Tackling a Strategic Deficit

Conflicts often follow an erratic course in which periods of violence and relative calm alternate unpredictably. The political, security, social, and economic policy fields and 'tools' for intervention have started to converge naturally in these cases, but intervening agencies are still facing enormous challenges. Policy makers need to act in an effective and timely way, but responding to any particular situation is an extremely complex matter. The track record in preventing violent conflict and promoting sustainable stability is still unsatisfactory. This poor record is partly explained by the fact that conflicts cannot be solved without the political willingness of the parties involved. Unfortunately, many people and organizations stand to gain

from conflicts and so they are spoilers to attempted peace deals. However, other obstacles need to be taken into account as well. Of the various evaluation studies executed over time, the Joint Utstein Study of Peacebuilding identifies the weaknesses of intervention methods[4]:

• insufficient understanding of the complex political dynamics of conflict;
• *ad hoc*, fragmented, 'too-little' and 'too-late' responses;
• overly optimistic policy design and inability to adapt to changing environments.

The Stability Assessment Framework (SAF) aims to tackle these shortcomings directly by grounding stability assessment firmly into strategy design. The framework is based on the understanding that strategy development should not be built on ideal-type interventions, blueprints, or simply copying best practices, but rather that it should be adapted as necessary according to the realities on the ground.

1.1.2 Developing In-house Capacities

In its attempts to sensitize policy makers and practitioners to conflict and instability, the academic community has developed all kinds of elaborate early warning systems and conflict assessment frameworks (see Box 1.2). Unfortunately, however, little attention has been paid to customizing these models for use in bureaucratic organizations.

Box 1.2 Selected Early Warning Models and Conflict Assessment Frameworks

Among the many systems and methodologies available, the ones listed below are mainly developed for use in a policy environment.

• *Strategic Conflict Assessment (SCA)*, DfID
  http://www.dfid.gov.uk/Pubs/files/conflict_assess_guidance.pdf
• FAST, Swiss Peace Foundation, http://www.swisspeace.org/fast/default.htm
• *Conflict Analysis Framework (CAF)*, World Bank
  http://lnweb18.worldbank.org/ESSD/sdvext.nsf/67ByDocName/TheConflictAnalysisFramework/$FILE/CAFAugust03.pdf
• *Conflict-related Development Analysis (CDA)*, UNDP
  http://www.undp.org/bcpr/conflict_prevention/ca_note%20_2_.pdf
• *Country Indicators for Foreign Policy (CIFP)*, Carleton University,
  http://www.carleton.ca/cifp
• *Conflict Analysis for Project Planning and Management*, GTZ
  http://www.gtz.de/crisisprevention/download/conflictanalysis.pdf

[4] *Towards a Strategic Framework for Peacebuilding: Getting Their Act Together,* Overview report of the Joint Utstein Study of Peacebuilding. D. Smith, Oslo: PRIO (April 2004)
http://www.prio.no/files/file44563_rapport_1.04_webutgave.pdf

For a more extensive overview of these and other models/frameworks, see also International Alert/Saferworld (2004), *Conflict-sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding; A Resource Pack*, Chapter 2. See http://www.conflictsensitivity.org

Quite often, organizations have extensive knowledge and expertise available in their own structures but they do not use these resources optimally. Expertise can remain fragmented or individualized and is not shared with the right people, in the right way, at the right time.

The SAF helps to cut across policy-fields and forces policy makers to expand their vision *beyond* their own specialized field. It is a 'good enough' tool that helps the user to understand the most relevant causes and linkages of conflict factors and to be confident that the policy they establish will be effective. The SAF creates in-house capacities for producing integrated policies and a shared basis for action.

1.1.3 Need for a Process-Management Tool

The SAF is primarily a process-management tool: it helps to incorporate information management and analysis, policy identification, and prioritization into the development of an overall stability promotion strategy for a particular country or region.

Each organization should look for the most appropriate way to fit the SAF into its policy planning cycle. Generally, linking the SAF-process to the annual and multi-year planning of organizations will increase the chances of effectively mainstreaming stability promotion and conflict prevention. The policy planning cycle will include a preparatory phase, during which all relevant materials and information on past and current developments should be gathered and analysed. SAF offers a clear method and structure to do so. Secondly, there is a reflection and decision-making phase, during which policy concerns and needs are prioritized and options for action are discussed. The SAF uses the workshop format here to bring together all relevant actors and expertise. Finally, the organization's policy strategies will be operationalized in (multi)year plans in the implementation phase of the SAF. SAF outputs will help you concretize these plans and policy documents.

1.2 Using the Framework

The SAF offers a generic tool that can be used by any organization working in unstable environments. Given the time constraints of practitioners and policy-makers, it is suggested that a consultant (or team of consultants) prepare the base assessment into a so-called *draft* **Reference Document**. This document opens the floor to discussion between practitioners and policy-makers, local partners, and international donor agencies. In a workshop format these participants can affirm,

refute, and/or fine-tune the assessment. New pieces of information and alternative interpretations can be incorporated. After this process of deliberations is completed, the assessment will be consolidated in the form of a *final* **Reference Document**. This common position on priority concerns can then serve as a starting point for strategic policy discussions. Here, the aim is to link the assessment findings to policy, to think 'out of the box' regarding solutions, but also to be realistic about what is possible given available capacity. This will lead to the formulation of a **Strategy Document**. The workshop will result in concrete deliverables such as input for the formulation and implementation of annual or multi year-plans, both national and regional, and integrated policies (political, development, economic, and military instruments). The strategic policy discussions can also focus on inter-donor coordination and harmonization strategies and political dialogues with recipient country governments and civil society on priority policy action plans and ensure greater alignment.

1.3 Structure of the Stability Assessment Framework

The SAF consists of three major parts. Part One involves the preparatory work of customizing the SAF to the user's needs. It explains the purpose of applying the framework, the expectations of the various parties involved, and other key implementation requirements and concretizes these in a Terms of Reference.

Part Two of the framework involves mapping and analysis work that provide input for a *draft* Reference Document. Step one is a *trend analysis* of the most important indicators for instability. This helps provide a sketch of the situation and identify priority concerns. Step two is an *institutional analysis* that highlights the effectiveness and legitimacy of major institutions such as the military, police, civil service, judiciary, and parliament. Step three is a *political actor analysis* focusing on the agendas and interests of particular political actors. The Ruling party and the major opposition parties are included as well as rebel forces and influential civil or religious groupings. Step four of the mapping and analysis phase includes a policy assessment: an overview of the policies and interventions of international actors and of the organization conducting the SAF. This overview of current activities will help identify gaps as well as the needs and niches for policy intervention.

Part Three outlines the workshop activities and helps the organization assess and translate the findings of Part Two into the development of a strategy. Ideally, all relevant stakeholders should have a say in finalizing the stability assessment, which is the basis for prioritizing actions in general terms for the international actors and organizations. The options you choose and strategies you design for your own organization can be considered and planned internally, but the process that contributes to this decision-making will be crucial for guaranteeing that informed judgments are made.

The stability assessments and strategic policy discussions should not be one-time events. Follow-up is required during the implementation process. Regular updates will help adapt policies to a changing environment.

The structure of the Stability Assessment Framework is schematically captured in the figure below.
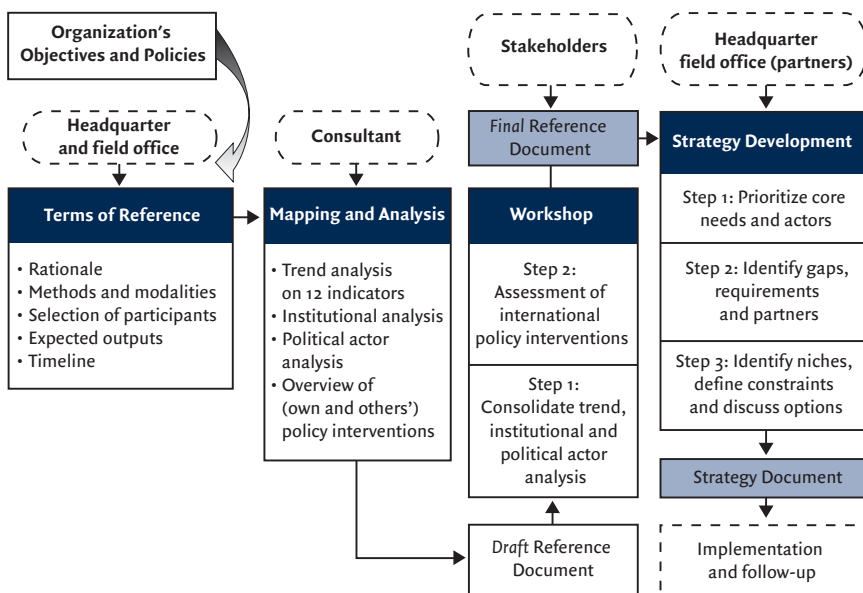
1.4 Report Outline

The three parts of the framework also reflect the structure of this report. Part One of the report provides key suggestions and practical assistance for the process of drawing up a Terms of Reference (Chapter 2). Part Two will set out the methodological underpinnings and practical considerations of the mapping and analysis. After a short introduction (Chapter 3), this part guides you through the various steps of establishing a trend analysis (Chapter 4), institutional analysis (Chapter 5), political actor analysis (Chapter 6), and an overview of current policy interventions (Chapter 7). Taken together, these analyses provide the building blocks for a *draft* Reference Document as input to the workshop (Chapter 8). Part Three of the report will focus on the workshop. It provides guidelines to structure the workshop discussion in order to develop a joint, *final* Reference Document (Chapter 9). The *final* Reference Document can be used for an (internal) policy discussion on the pros and cons of various instruments and partnerships for implementation. In this way, niches for policy intervention can be identified and the organization can start to plan (within its own constraints and policy ambitions) for action (Chapter 10). A final chapter, Chapter 11, lists a number of suggestions for application of the Stability Assessment Framework.

Part One: Towards a Terms of Reference

2. Developing a Terms of Reference
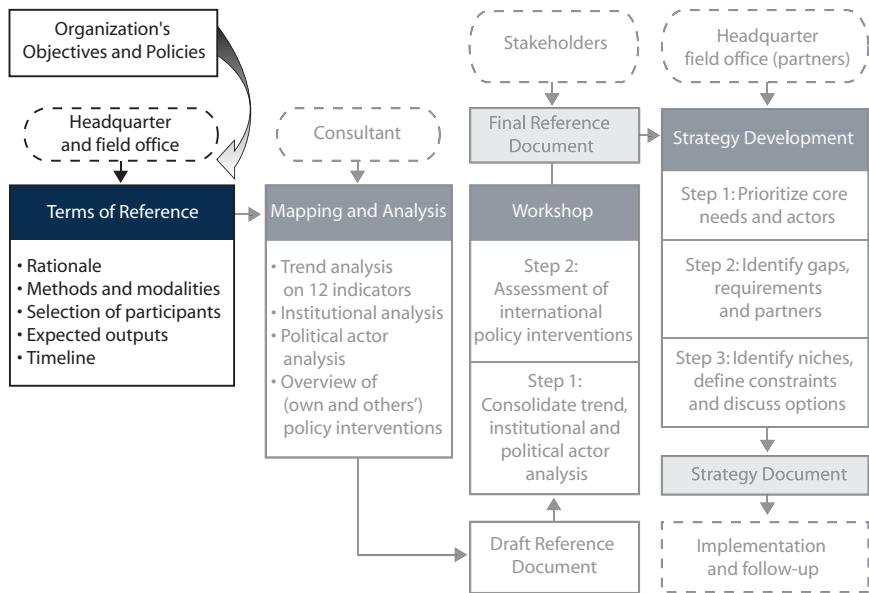
2.1 Purpose

A Terms of Reference will help your organization outline the specific requirements for 'what to do' and 'how to do it'. As you develop the Terms of Reference, the SAF will be customized to your goals and expectations. You should make sure that the most relevant actors are committed to the exercise so that the SAF can be applied. Some external parties should be included, and you will need a facilitator and some consultants to carry out (parts of) the preparatory, mapping and analysis, logistical, or facilitating tasks. The Terms of Reference should make explicit all the relevant details and responsibilities of each party.

The *process* of creating a Terms of Reference is important and should not be underestimated. All relevant staff members-at the decision-making level as well as the implementation or field level-must be involved for the application to be successful. Practitioners who are actually going to work with the findings must be committed to and feel a sense of 'ownership' over the process.

2.2 Five Decisions on Applying the SAF

The 'field office' is the central organization for implementation and, thus, the most appropriate level to carry the responsibility of the SAF execution. The field office should also be responsible for drawing up the Terms of Reference. Final decisions, nevertheless, should be the outcome of deliberations between the field office and your headquarters. While the Terms of Reference may include some other issues and decisions, the five core elements discussed in Box 2.1 are considered the key to a successful implementation of a SAF.

Box 2.1 Core Elements of a Terms of Reference

Rationale: Your organization should establish a consensus on why you are undertaking a SAF exercise. This consensus is important for assuring commitment to the process and for unifying expectations.

Methods and Modalities: You need to further clarify how you will carry out the exercise. Establishing the trend line will be time-consuming, for example, so you may want to consult a team of (external) experts. If your organization is already familiar with the framework, you might also decide to limit the exercise to updating the stability assessment, reflecting on the impact of past (year's) interventions, and discussing any adaptations you would like to make to the implementation strategy. The workshop could then remain primarily an internal planning and decision-making exercise. Another option to consider is whether to use the framework as a tool for political dialogue. This would clearly have an impact on which methods and modalities would be most appropriate.

Selection of Participants: Who to include in the process will depend on your rationale. It is important to be clear about this. The participation of some actors might be crucial for the whole exercise, in which case you will need to get their commitment early on. Likewise, for the logistics to function well, you will need to carefully select the team members who will prepare the exercise. Be specific about each staff member's responsibilities, identify important network partners to include in the workshop, and carefully select a consultant and facilitator team.

Expected Outputs: You should also set parameters for the expected deliverables. In some cases the dialogue and consultation process itself will prove to be the most important output. In other cases, you might need to be specific in outlining the Reference Document and the Strategy Document in order to make these as focused and as applicable as possible for your organization's purposes. Reports for external dissemination and those used as input for political dialogue and partnership-building will have to fit different criteria than documents to be used for internal use only.

The outputs for strategy implementation should also be clearly outlined, especially if you plan to involve external consultants and facilitators. These consultants need to familiarize themselves with the organization's policies, capacities, and working processes.

Timeline: Lastly, the Terms of Reference should specify a realistic timeline. Experience has shown that three months is a reasonable estimate of the time needed to complete the whole process.

2.3 Practical Suggestions

Consider the following suggestions as you draw up your Terms of Reference:

Plan Ahead: If you want the SAF exercise to fit into your internal policy planning cycle, the workshop should occur before you develop your annual work plan or multi-year strategy. This will require some early decision-making, however, so that you can do adequate preparation, complete the mapping and analysis, and assure the full commitment and availability of all relevant partners.

Establish Commitment: The assessment process is more likely to be successful if it is participatory in nature. The decision to execute a SAF should not be made in a top-down fashion; it will require the involvement and support of field staff. It is important to take the time to establish this commitment.

Be Clear on the Assessment Methods: If you are using the framework for the first time, it might be beneficial to include a complete explanation of the assessment methods. Although this might require you to extend the workshop by (approximately) half a day, it will diminish the time spent on questioning the methods and outcomes. The methods are crucial for structuring the discussions, since they force participants to take a broader view (outside their specialized sector) and help reduce the risk of people talking at cross-purposes.

Decide on the Assessment Period: In order to assess the dynamics of stability or instability in a country or region, you will need to choose a clearly defined period of time to study. Highly unstable settings show a larger number of significant events, greater fluctuations, shifting positions of key actors, and more far-reaching consequences of each event on state and society. In these cases, it is best to limit the case study to a shorter period of time. In other settings where there is less change and a country seems to be 'stuck' in a phase of weakness, it might be necessary and possible to cover larger time periods in the mapping and analysis.

Balance the Stability Assessment and the Policy Assessment: Be sure to reserve adequate time and capacity for the careful preparation of a policy assessment. This is particularly important since the main rationale for doing a SAF exercise is to develop and implement a strategy. In order to decide what to do, you will need insight into what has been done already, what has (and hasn't) worked, and what niches are available to your organization. If the policy assessment is prepared by an external consultant, be sure that (s)he has adequate access to all relevant documents and information.

Select Relevant Partners: The success of this exercise will depend on how the outcomes are implemented. Consulting all relevant actors at some point in the process will greatly improve your implementation, and thus the effectiveness of the whole operation. Relevant actors include those who are involved in or affected by the implementation and those who might help or hinder the implementation. Having all the right people involved is key to the entire process.

Part Two: Towards a Reference Document

3.   Introduction

Organization's Objectives and Policies		Stakeholders	Headquarter field office (partners)
Headquarter and field office	**Consultant**	*Final Reference Document*	**Strategy Development**

Terms of Reference

- Rationale
- Methods and modalities
- Selection of participants
- Expected outputs
- Timeline

Mapping and Analysis

- Trend analysis on 12 indicators
- Institutional analysis
- Political actor analysis
- Overview of (own and others') policy interventions

Workshop

Step 2: Assessment of international policy interventions

Step 1: Consolidate trend, institutional and political actor analysis

Strategy Development

Step 1: Prioritize core needs and actors

Step 2: Identify gaps, requirements and partners

Step 3: Identify niches, define constraints and discuss options

Strategy Document

Draft Reference Document

Implementation and follow-up

3.1 Purpose

Part Two of the Stability Assessment Framework deals with the actual mapping and analysis of the country context and the dynamic processes taking place. It also includes an overview of the major policy interventions of your organization and of others. This understanding of the current setting will guide your later decisions on strategy. The SAF approach has the following advantages:

- The mapping and analysis contains in-depth study that is based on extensive consultation of diverse sources;
- The presentation is concise, uses simple graphics to depict changes and continuities over time, and puts forward priority fields of attention;
- The comprehensive nature of the assessment enables 'out of the box' thinking and information sharing between specialist policy departments and other relevant partners;
- The consolidation of the assessment contains a consultative process that guarantees inclusiveness and ownership over the analysis.

Chapters 3 through 8 will familiarize you with the methods of how to conduct a stability and policy assessment in order to build a *draft* Reference Document. Since the mapping and analysis is the most time-consuming element of SAF, your organization might decide to hire a consultant (team) to prepare this *draft* Reference Document.

3.2 Methods

The SAF method for assessing the conflict and (in)stability potential of a particular country requires your organization to take a comprehensive view on the governance, security, and socioeconomic development characteristics of a country and to assess how the combination of these factors affect (in)stability (see Box 3.1).

Box 3.1 Types of Indicators for Stability Assessment

- **Governance indicators** point to the effectiveness and legitimacy of the state in upholding the rule of law and delivering public sector services to its citizens;
- **Security indicators** signal the extent to which the state holds the monopoly on violence through a democratically controlled security sector, is able to guarantee the security of its citizens throughout its territory, and is capable of holding off threats from external actors;
- **Socioeconomic Development indicators** are a measure for assessing the extent to which economic benefits are equally distributed and basic social services (healthcare, education) are provided for equally.

The first part of the mapping and analysis stage establishes an indicator trend-line for the country under study. This helps assess developments over time as well as the ability of major institutions and political actors to influence these developments. It helps identify structural features of instability and their mobilizing and destabilizing potential. This will better prepare you for upcoming events and help identify where changes are most needed. The second part of the mapping and analysis stage is an overview of current policy priorities and implementation practices, both for your own organization and for other relevant actors. Box 3.2 briefly presents the various types of analysis used in SAF. These will be explained in greater detail in the following chapters.

Box 3.2 Overview of the Types of Analysis Used in SAF

Indicator Trend Analysis (see Chapter 4) - The first part of the assessment builds trend lines for 12 indicators (see Box 4.1 in the chapter 'Mapping and Analyzing Indicator Trend Lines' for a full listing of the indicators). These trend lines indicate the degree and nature of (in)stability in the country under study. As you go through the various consecutive steps of the SAF, you will constantly refer back to these trend lines and reflect on the meaning and implications of particular trends. They are the major reference for policy priority setting, they help you identify entry points and options for intervention, and they are a measure against which to assess the effectiveness of your interventions.

Institutional Analysis (see Chapter 5) - The second part of the assessment focuses on the state and its core institutions. These institutions should be the key to upholding stability, grounding non-violent conflict management mechanisms, and maintaining a rule of law. Since state institutions are often the direct counterpart at the international level, this analysis is particularly important. An understanding of the effectiveness and legitimacy of these institutions, which might operate under different (e.g. neo-patrimonial) logics, is crucial for a well-grounded overall stability assessment.

Political Actor Analysis (see Chapter 6) - The third part of the assessment involves taking a closer look at the capacities and intentions of particular core political actors. This part of the assessment looks into the agendas, strategies, networks, and support base of actors that have the potential to impact significantly on the level of (in)stability in a country-for better or worse. The policy implications of this type of analysis are diverse. In some cases, actors need to be contained or side-lined; in others, they need to be included, strengthened, or supported.

Policy Analysis (see Chapter 7) - The fourth part of the assessment prepares an overview of current policy approaches, ongoing programs, and interventions and will focus on options and niches for future involvement. This should be done for your own organization, but also for other relevant intervening actors. This analysis will help you set strategic priorities, identify partners, and divide responsibilities during the implementation phase.

3.3 The Output: A Draft Reference Document

Together, the assessments form the basis for a *draft* Reference Document presenting the major findings in a concise manner. The document will include: the individual and generic trend lines with references to the main sources used and a well-argued analysis of each indicator trend development over time; the strengths and weaknesses of the major institutions and their impact on stability; an analysis of the position of major political players; and an overview of main policy strategies and implementation practices of your organization and other major intervening actors.

This *draft* Reference Document prepared by the consultant(s) is the *starting point* for focused, structured discussions between policy makers, planners, and implementers. The stability assessment will be consolidated in a *final* Reference Document during the workshop (Part Three). At that point it can be used to engage in strategic policy discussions.

4. Mapping and Analyzing Indicator Trend Lines[5]

4.1 Purpose

There are various ways to assess a country's stability and to present these findings. The SAF has chosen to use an indicator trend analysis because it has a number of advantages:

- The trends avoid 'snap shot' pictures of a situation, tracking changes and continuities over time instead;
- Trend assessment enables a graphic presentation that captures relative developments;
- The 12 indicator trend assessments together capture the internal social, economic, political, and military conditions of a state;
- The graphic presentation summarizes in a concise way the underlying in-depth analysis and multiple data sources.

The trend assessment not only guarantees a comprehensive picture of the developments in a country but also provides structure to the assessment process as a whole and to the presentation of its findings.

4.1.1 Introducing the Twelve Indicators and the Trend Line

The SAF uses twelve indicators to assess trends. These are listed in Box 4.1. The indicators should not be understood as either the causes or consequences of instability, but rather as factors that are frequently linked to increasing or decreasing instability and conflict potential. Trend assessment occurs by placing each indicator on a continuum between two extremes, indicating the intensity and direction of change. This process is described in the following paragraph 4.2. The figure below will give you

Figure Trend Assessment (Example)

[Axis labels: Worsening Situation / Improving Situation; Alert zone; Warning zone; Stable zone; Time line]
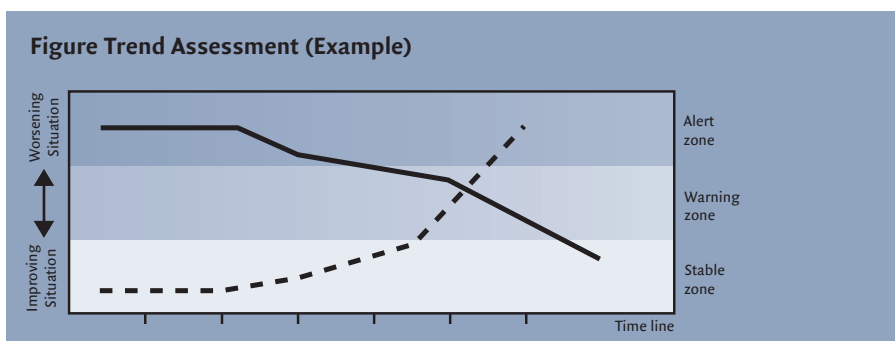
[5] This chapter largely draws on the copyrighted methodology as developed by the Fund for Peace. See Pauline Baker and Angeli Weller (1998) *An Analytical Model of Internal Conflict and State Collapse: Manual for Practitioners.* Fund for Peace, Washington, D.C. Alterations, modifications, amendments or additions made by the Netherlands Ministry of Foreign Affairs to the Fund for Peace Methodology may not be consistent with the findings of the original application of the Methodology or of the Fund for Peace. They are, therefore, the sole responsibility of the Ministry of Foreign Affairs.

Box 4.1 Twelve Indicators		
Nr.	**Indicators of (In)stability**	**Trend Assessment Questions (example)**
	Governance Indicators	
1	Legitimacy of the State	Is the state viewed primarily as illegitimate or criminal, or as a legitimate actor representative of the people as a whole?
2	Public Service Delivery	Is public service delivery progressively deteriorating or improving?
3	Rule of Law and Human Rights	Are human rights violated and the rule of law arbitrarily applied or suspended, or is a basic rule of law established and are violations ceasing?
4	Leadership	Are elites increasingly factionalized, or do they have national perspectives? Are leaders capable of winning loyalties across group lines in society?
	Security Indicators	
5	Security Apparatus	Does the security apparatus operate as a 'state within a state', or is a professional military established that is answerable to legitimate civilian control?
6	Regional Setting	Are destabilizing regional cross-border interventions increasing or reducing?
	Socioeconomic Development Indicators	
7	Demographic Pressures	Are pressures mounting or easing?
8	Refugee and Internally Displaced Persons (IDPs) Situation	Is there massive movement of refugees and IDPs, creating humanitarian emergencies, or are these resettled and resolved?
9	Group-based Hostilities	Is there a legacy of vengeance-seeking group grievance and paranoia, or is there reconciliation and a reduction of hostilities?
10	Emigration and Human Flight	Is there chronic and sustained human flight or a reduction in the rate of emigration?
11	Economic Opportunities of Groups	Is there uneven economic development along group lines, or are such disparities reducing?
12	State of the Economy	Is there sharp or severe economic decline, or is the economy growing?

some idea of what the trend assessment looks like when graphically depicted. The downward moving line is illustrative of a country that was in a highly unstable alert zone, but started to improve. The upward moving (dotted) trend line, on the other hand, demonstrates change from a stable zone to rapidly worsening conditions.

4.2 Four Steps to Map and Analyze Indicator Trends

The four steps below will guide you through the process of completing a stability trend assessment of the country of your choice. They provide you with tools to facilitate the testing phase (what to look at and how), to gather and structure your findings, and to make your final diagnosis based on testing and expert knowledge.

4.2.1 Step 1 - Choosing Specific Dates as Assessment Points

»»» **What specific dates are important to look at for assessing changes towards either stability or instability in the country?**

The Terms of Reference has already defined the period of time you will be looking at for your country or region. In order to establish trends, you will need to choose some specific dates within this period of time that can be reference points for measuring the changes that take place. Identify approximately three to five important points in time in order to establish a trend line. These will be dates that have had an important impact-positive or negative-on developments and stability in the country under investigation. Once the dates are identified, the 12 indicators can be assessed on these 'event dates', rather than at regular intervals that could miss out important peaks and falls. What you, in fact, establish in this first step, is to set out the points along the horizontal axis of the graph.

4.2.2 Step 2 - Rating the Indicators

»»» **How important do you consider each of the twelve indicators for the country under study, and how are they impacting on stability?**

The points along the vertical axis of the graph are fixed, and consist of a range of weights that illustrate the importance of that particular indicator at that particular moment in time. This assigning of weights is here called the 'rating' of the indicators: you will assign weights on a scale from zero (0) to ten (10). A zero (0) rating indicates that the particular indicator is not important at a given date. A ten (10) rating indicates the highest level, i.e., that the particular indicator is at its greatest intensity at a given date.

The Test Format - Assigning Weights to the Indicators:
For each consecutive date that you are rating, you will compare the situation on that date to the one on the previous date. This illustrates the *relative* nature of the assessment: Things may change for the positive (a lower rating), the negative (a higher rating) or remain the same (identical rating).

The rating that you choose can also reflect the *intensity* of change. They can be small (+1 or -1) or considerable (≥ 2, ≥ -2). Gradual changes often go unnoticed in daily practice, but when depicted in a graph they come to stand out and make you aware that changes are, indeed, taking place-for better or worse. Small changes over time can in the end be as threatening as sudden jumps in ratings and therefore should not go unnoticed.

How to Execute the Test - Consulting Multiple Sources and Making Expert Judgements:
Each time you rate the indicators for the various consecutive dates, you are asked to make an informed judgement of the nature of change and the intensity of the indicators and to assess their importance to the country under study.

Each indicator in itself is of a general nature, referring to a more-or-less observable phenomenon in practice. To adequately assess and assign weights, you can partly trust your own expertise, but it is also important to include different sources, cross-check, and reconsider the validity of contradicting evidence.

Because each country will have different specific underlying problems that affect an indicator, it is not possible to work with a fixed set of questions to assess the indicator. Some guidance in asking the 'right' questions is provided here, nevertheless, to help you start the assessment. For example, Box 4.2 presents a 'guiding questions form' for Indicator 2, 'Public Service Delivery'. Similar guiding questions for each of the other indicators can be found in Annex II. As you use these forms, please note that the guidance questions listed are only suggestions and might not be relevant to your particular country. If other questions prove more important, you will need to add them. The experts should be able to make this judgement and add relevant measures, considerations, and data sources.

Box 4.2 Example 'Guiding Questions Form' for Indicator Rating

Indicator 2: Public Service Delivery

One of the key factors society uses to assess government performance is public service delivery. If service delivery is seriously hampered or limited only to specific groups in society, this may have serious effects on the stability of a country.

General Guidance Question

Is public service delivery of essential services (health, education, infrastructure) and security progressively established, or is it deteriorating and becoming limited to those agencies that serve the ruling elites?

a. Is there a deterioration or disappearance of basic state functions (e.g. a failure to protect citizens from violence, a failure to provide essential services such as health care, education, sanitation, and public transportation)?
b. Is the state apparatus functioning only in agencies that serve the ruling elite, such as the security forces, presidential staff, central bank, diplomatic service, customs and collection agencies?
c. Is there equal access to education and health services?
d. Is public employment used to diffuse social tensions at the expense of efficiency and effectiveness?
e. ...

The Outcome of the Test - Establishing a Trend
Once you have assessed and rated the indicators for each of the assessment dates, you have gathered all the points for creating a trend line. The trend points are listed on a 'rating sheet' that helps you keep track of your assessments. Box 4.3 demonstrates what such a rating sheet looks like. This particular rating sheet shows the outcome of an assessment for Rwanda.[6] The assessment dates-from July 1959 until April 1994-are mapped out here against the individual indicators. For Indicator 7, for example, you see the ratings increase gradually as of October 1990, indicating mounting demographic pressures. Also Indicator 9 clearly reflects a sharp and alarming rise in grievances by vengeance-seeking groups leading up to the 1994 genocide.

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[6] See J. Leader (2001), 'Rwanda's Struggle for Democracy and Peace, 1991-1994', Washington D.C.: The Fund for Peace. The original Fund for Peace numbers and names of the indicators have been adapted to fit the SAF-approach.

Box 4.3 Example Rating Sheet (case of Rwanda)

Indicators	jul-59	jul-62	1973	okt-90	jul-91	okt-91	jan-92	apr-92	jun-92	jul-92	jan-93	feb-93	aug-93	nov-93	feb-94	apr-94
1. Legitimacy of the state	6	5	8	7	5	4	5	7	8	4	8	8	5	7	9	10
2. Public Service Delivery	6	6	6	7	3	3	3	5	6	5	7	8	5	6	7	10
3. Rule of Law and Human Rights	7	7	7	8	4	4	4	6	6	6	9	8	5	8	8	10
4. Leadership	5	5	5	6	5	5	5	5	5	5	7	7	8	8	8	10
5. Security Apparatus	7	5	6	7	4	4	4	4	6	7	8	8	7	8	9	10
6. Regional Setting	0	0	0	5	4	4	4	4	5	5	5	7	6	7	7	10
7. Demographic Pressures	5	5	5	7	7	7	7	7	7	7	7	8	8	8	8	8
8. Refugee and Internally Displaced Persons (IDP) Situation	6	6	6	6	5	5	5	5	7	7	7	9	9	8	8	8
9. Group-based Hostilities	6	6	6	7	7	7	7	7	8	8	9	10	8	10	10	10
10. Emigration and Human Flight	1	1	1	3	3	3	3	3	3	3	3	3	3	3	3	3
11. Economic Opportunities of Groups	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7	7
12. State of the Economy	0	0	0	4	4	4	4	4	4	4	4	5	5	5	5	5
Trend Point Totals:	56	53	57	74	58	57	58	64	72	68	81	88	76	85	89	101

When the rating sheet is completed, these trend points can be transferred to a graph that helps to build both individual indicator trend lines and the aggregate trend line: Individual trend lines depict the individual ratings for each date (i.e. the separate rows on the rating sheet). The aggregate trend line depicts the trend point totals for all twelve indicators as illustrated in the bottom row of the rating sheet. Box 4.4 on the following page demonstrates how this particular rating sheet transfers to a graph and, hence, what the trend line would look like. Example A depicts the aggregated trend line in which the ratings for the 12 indicators are combined. Example B shows the course of the individual trend lines. Please note that an upward-moving trend line signals a worsening trend, and a downward moving trend line signals an improving trend. Trend lines in the upper part of the graph therefore depict an alert phase. The middle part is a warning phase and the lower part a stable phase. When comparing the overall trend line with the individual trend lines in Box 4.4, you will notice immediately that not all of the indicators have the same impact

on overall (in)stability. Some stand out because they are in a continuous, high warning zone, others demonstrate sudden and/or temporary peaks or falls. And yet others remain in a stable zone over time.

Box 4.4 A - Example of Aggregated Trend Line

Trend Lines by Total Numbers - Rwanda
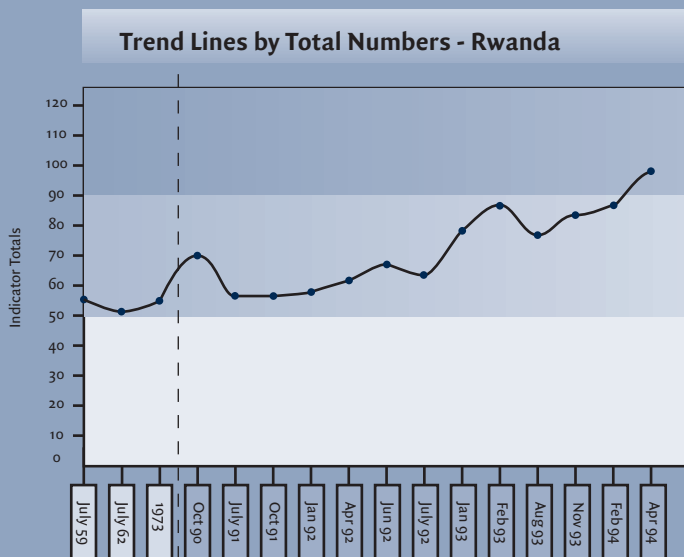
B - Example of Individual Trend Lines

Individual Indicator Trendlines - Rwanda

The Fund for Peace, Copyright 1998
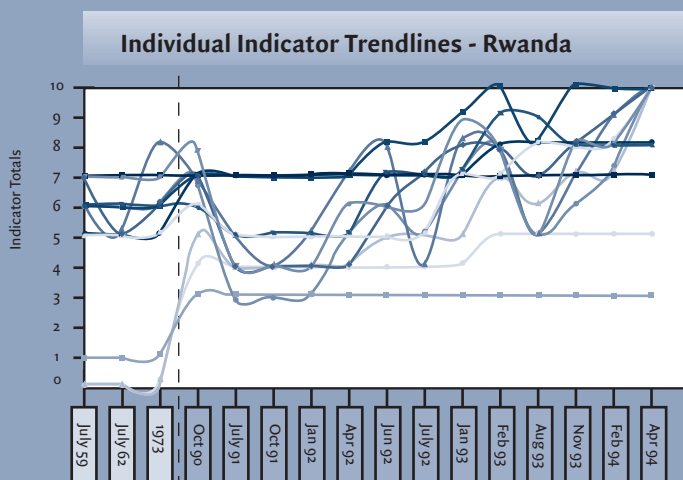
4.2.3 Step 3 - Identifying Potential Trigger Events

> **»»» Which upcoming events or potential developments might seriously affect the trends? Do you foresee particular events that might ignite a sharp worsening of the trend?**

The trend line that you have established will most likely run up to the present. It can also help you think about, and be prepared for, future developments. How the trend has developed over the past period is an important indication how it may develop in the future. However, whether a trend will continue along the same line also depends on upcoming events. So-called 'triggers' may become catalysts that accelerate or decelerate trends. They may provoke conflict or destroy peace settlements. It is important to take these potentially destabilizing triggers into account in your trend analysis and think of ways to respond to them.

In this step, you will identify these kinds of upcoming (trigger) events, events that have a significant chance of occurring in the future. Be as specific as you can. They could be recurring events, e.g. election and campaigning periods, a single event like the return of large refugee groups, or the effects of continuing economic decline. Be sure to take into account any circumstances particular to the country. For example, the bad health of a president might be worth taking note of. What will happen if the president passes away and how will this uncertainty affect politics in general (e.g. the issue of succession)? Another example relates to elections. What will happen if election results demonstrate a victory for the opposition? How will the 'established order' react? What is the expected effect on economic growth and major investments?

The trend analysis in the reference document should refer to these aspects and be forward-looking in order to enable proactive policy-making and timely responses to upcoming events.

4.2.4 Step 4 - Interpreting Trend Lines and Identifying Hazard Zones

> **»»» What hazard zone would you assign to the country in question at the present time? What individual indicators stand out that require priority attention and why?**

As a last step, you should interpret the established trend lines and identify key concerns and priority areas. This methodology identifies three hazard zones-stable, warning, and alert-to help assess the overall menace of (individual) trend lines to stability (see Box 4.5). The colours correspond with the zones as indicated in the trend line of Box 4.4-A.

Box 4.5 Interpreting Indicator Ratings and Recognizing Hazard Zones		
Hazard Zone	Rating Range	Impact on Stability
Alert	8—10	The indicator is in an alert phase, with 10 indicating that the indicator is of extreme importance at the date of assessment. Indicators in this zone strongly impact on instability.
Warning	4—7	The indicator is in a warning zone. The indicator starts to become important for the level of instability in the country.
Stable	0—3	The indicator is in a stable zone. Indicators in this zone are not affecting stability in a negative way.

The assessment of the trend line forces you to be explanatory and, to a certain extent prescriptive: How has the indicator changed over time? Has the trend improved or worsened? Why? Each of these questions will help you build a comprehensive picture of the structural weaknesses and dynamic features of the country stability setting and its level of volatility. Where particular indicators stand out, or are considered to have a crucial impact on a number of other indicators, the assessment helps you identify priority areas of concern.

It is not likely that one of the individual indicators is sufficient to stabilize or destabilize a country. Most often clusters of indicators will stand out. Indicators where the rating jumps with two or more points require special attention. Indicators that are in a rising pattern reaching a rating of four (4) or more also require attention, because they are crossing a threshold from relative stability to a warning level. The same goes for the threshold between the warning and alert phase. When indicators find themselves at a constant high level, they often indicate structural problems that can easily spark instability if unaddressed.

Please remember that the trend lines do not express mathematical or statistical findings. They are merely a way of presenting findings, by translating assessments to a stability-instability scale from 0 (stable) to 10 (highly unstable). The assessment of political factors in particular should not be taken as a 'hard science' as it is subject to interpretation. These interpretations and perceptions, however, are now made part of an open and transparent information gathering and assessment process. Assessment biases are revealed in this way, and this assures a greater level of objectivity (or inter-subjectivity). Box 4.6 provides an illustration of an individual indicator trend assessment. The rating example is for Indicator 9, 'Group-based Hostilities', referring to a stability assessment carried out in Kenya in October 2003.

Box 4.6 Illustration of Indicator Trend Assessment

Please note that this assessment is the outcome of a workshop session. Agreement was not reached on all parts of the assessment.

Indicator 9 'Group-based Hostilities': Kenya, Assessment Date October 2003

Summary Assessment: Ethnicity and tribe are key characteristics of group identity and play an important role in Kenyan politics and society. Though vengeance-seeking is absent in inter-group relations, ethnicization remains of concern and requires close monitoring.
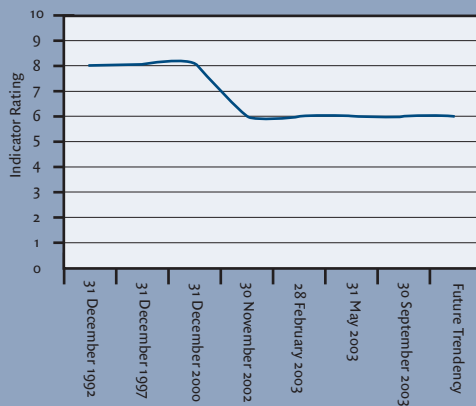
Though group identities are strongly based on ethnicity and tribe, vengeance-seeking between groups is not a reality in the case of Kenya. Group claims (e.g. for the distribution of posts and resources) are a basic aspect of Kenyan politics, however, and regional appointments in particular are believed to occur on the basis of group membership. The historical basis of group grievances is very deep, and it is important to keep in mind the extent to which this historical perspective continues to play a role in present day group relations. This historical tendency has had less influence in recent years, however, especially as civil society leaders - religious and non-governmental organizations, independent media groups, etc. - have helped to call for tolerance between different groups in Kenya. This is also reflected in the downward, positive trend in the run up to the 2002 elections. Different groups united for the common goal of pushing KANU out. Freedom of expression has also improved substantially despite sporadic incidents of obstruction. With KANU out, much will now depend on the stability of the NARC coalition. The trend line demonstrates that there are reasons for precaution.

The high level of ethnicization and marginalization may cause potentially new grievances in certain regions and create exclusion, which may put national unity at risk. Tensions may, for example, arise as a result of the reclaiming of land by IDPs who have gained political weight. Ethnic tension is also becoming visible in urban centres. In the coastal, predominantly Muslim areas, efforts to eradicate Islamic militant groups are strong, which may fuel discontent. Future developments of inter-group relations depend on whether leadership is factionalized along (ethnic) group lines. This indicator should therefore be closely monitored in conjunction with Indicator 4, Leadership.

4.3 Practical Suggestions

Consider the following suggestions during your mapping and analysis:

Use Multiple Data Sources: The amount of available and reliable data sources per indicator assessment might differ. In terms of content, you should also be aware of potentially biased information and look for alternative sources to cross-check. Local and international sources need to be included as well as formal and informal ones. The opportunities for both written and oral sources need to be explored.

Follow the Methods Pragmatically: The 12 indicators listed are a generic list of phenomena, and not all indicators will be relevant to all countries and situations. Where no refugees or humanitarian emergencies have occurred recently, it is not necessary to assess these extensively or to search for problems where there are none. It is worthwhile, nevertheless, to go through the complete list of indicators just in case your specific 'professional lenses' are overlooking any important data or phenomena.

Focus on Relative Indicator Trend Developments: As you review the indicators, be aware of their relative nature over time and in relation to other indicators. While discussing demographic pressures, for example, you might also include economic and political factors in your assessment.

Assess both Aggregate and Individual Trend Lines: Though the aggregate trend line provides an overall picture, it can hide important information contained in the individual trend lines, some of which can be highly volatile. When you go on to identify policy entry points, these individual trend lines will provide crucial information.

Invest in Institutional-Memory Building: The first time you carry out a trend-assessment, it may be a substantial effort, especially if you choose to build a historical trend over a lengthy time period. This first effort will contribute, however, to building an institutional memory on developments and opinions. For follow-up assessments, you can draw on this base trend line, add new assessment dates, and follow the developments in a country in a more structured way.

5. Mapping and Analyzing Institutional Capacity

5.1 Purpose

This institutional capacity assessment focuses on five selected state institutions considered crucial to any functioning, sustainable, and independent state: the military, the police and corrections system, the judiciary, civil service, and parliament. The executive is another essential state 'institution', but given its high political profile, its role and performance are assessed in Chapter 6 on political actors. We also suggest that civil society be assessed as a political actor rather than as an institution. While civil society can play a crucial role in certain circumstances, and although civil society organizations are often key partners for external donors, it is difficult to assess civil society as an institution comparable to the state institutions mentioned here.

The absence or poor functioning of state institutions is key to understanding why some states and societies seem more susceptible to instability than others. In some situations there are competing institutions (e.g. traditional ones, or in autonomous or secessionist regions). In other situations, institutions are kept weak because of large-scale fragmentation of society, misuse or abuse of power, or a general lack of resources and capacities.

The institutional assessment in this chapter should determine the capacity of these five core institutions to manage the situation at hand. The aim is to assess their effectiveness and legitimacy and to identify entry points for policies and dialogue on how to improve their overall functioning. Important information on the functioning of these institutions over time will already have been derived from the indicator trend assessment. Indicators 1 through 6 in particular focus on the behaviour of state institutions and how these institutions are perceived by society. Indicators 7 through 12 can be (partially) viewed as outcomes of state policies. This institutional capacity analysis will more prominently highlight each of these institutions and their impact on (in)stability.

5.2 Five Steps to Map and Analyze Institutions

The five steps for mapping and analyzing institutional capacity here correspond to the assessment of each of the five distinct state institutions. Taken together, these institutional assessments represent interpretations and expectations of the government, as well as the functioning of the institutions. Measuring an institution's legitimacy and effectiveness will help you reflect on its capacity to generate power as well as its capacity and willingness to share power.

General Instructions:
As you assess the *effectiveness* of each institution, think of its capacity to gain and keep a monopoly on the use of violence, to establish internal order and a rule of law, to develop financial and economic capacities, and to deliver public services. When

assessing the *legitimacy* of institutions, think of aspects such as participation, inclusiveness, transparency, and autonomy.

In each step you will assess the recent history of a particular institution. Indicate whether the institutions are in the process of changing and how. The analysis and findings are of a qualitative nature: the aim is to indicate whether the institution is (highly) legitimate, whether it has limited legitimacy, or whether it is hardly or not at all legitimate. You should also indicate the factors that contributed to this finding and the expected *tendency* for the future in order to illustrate the degree and course of change as: stable, improving, or deteriorating (see the Boxes 5.1. through 5.5 below)

5.2.1 Step 1 - Effectiveness and Legitimacy of the Military

In this first step you will assess the effectiveness and legitimacy of the military. To what extent is the military building its institutional capacity to better mitigate instability and threats to internal and external security? To what extent does it inadvertently exacerbate internal events because of the lack of capacity, political will, or other factors?

Box 5.1 provides you with some sample guidance questions to help you start the assessment. You are encouraged to include additional measures and data to fit the particular country under study. Important information can also be retrieved from the trend assessment. When you assess the military, you should take into account Indicator 1, 'Legitimacy of the State'; Indicator 3, 'Rule of Law and Human Rights'; Indicator 5, 'Security Apparatus'; and Indicator 6, 'Regional Setting'.

Box 5.1 Assessing the Military

Using the guidance questions below, please rate the Military's effectiveness and legitimacy. You can use the institutional capacity rating sheet to keep track of your ratings.

Institutional Capacity Rating Sheet

Institutional Capacity of the Military		
Effectiveness	*Include remarks that indicate level of effectiveness as well as the factors explaining the findings and the tendency.*	Tendency • Stable • Improving • Deteriorating
Legitimacy	*Include remarks that indicate level of legitimacy as well as the factors explaining the findings and the tendency tendency.*	Tendency • Stable • Improving • Deteriorating

Guidance Questions to Assess Effectiveness
- Does the military have the necessary expertise to fulfil its functions effectively?
- Does the military guarantee internal stability and order?
- Do monitoring and evaluation of performance occur?
- If performance is poor, are the problems addressed?
- Is the role of the military based on a wide-ranging assessment of the country's internal and external security environment?
- ...

Guidance Questions to Assess Legitimacy
- Does the military respect the democratic political process and accept the need for accountability to civil authorities? Is the military democratically controlled?
- To what extent is the military considered to operate autonomously, operating independently from factions in society?
- Does the military respect human rights?
- Are formal policies and plans guiding the defence sector?
- Does the military seek undue influence over policy development? The allocation of resources? Decisions about the use of force?
- ...

5.2.2 Step 2 - Effectiveness and Legitimacy of the Police and Corrections System

During this second step you will assess the effectiveness and legitimacy of the police and corrections system. The police are often the most visible institution of the security sector. Without law enforcement and some sense of safety, security, and order, there is a risk of wider political, social, and economic problems. The corrections system is closely linked to the police. Its performance will depend on that of the police in terms of legitimacy and effectiveness.

Box 5.2 provides you with some sample guidance questions to help you start the assessment. You are encouraged to add additional measures and data to fit the particular country under study. Important information can also be retrieved from the trend assessment. In the case of assessing the police and corrections system, you could take into account Indicator 1, 'Legitimacy of the State'; Indicator 3, 'Rule of Law and Human Rights'; and Indicator 9, 'Group-based Hostilities'.

Box 5.2 Assessing the Police and Corrections System

Using the guidance questions below, please rate the effectiveness and legitimacy of the Police and Corrections System. Use the institutional capacity rating sheet to keep track of your ratings.

Institutional Capacity Rating Sheet

Institutional Capacity of the Police and Corrections System		
Effectiveness	*Include remarks that indicate level of effectiveness as well as the factors explaining the findings and the tendency.*	Tendency • Stable • Improving • Deteriorating
Legitimacy	*Include remarks that indicate level of legitimacy as well as the factors explaining the findings and the tendency.*	Tendency • Stable • Improving • Deteriorating

Guidance Questions to Assess Effectiveness
- Are the police dealing with the priorities as perceived by the public (e.g. public safety and security)?
- Are the police adequately equipped and trained to execute their tasks as mandated?
- Are there clear divisions between the roles of the police and the military?
- Are there problems of corruption within the police/corrections system, and if so, what are the reasons?
- Do the police and corrections system have appropriate internal oversight mechanisms, and do these function adequately?
- Are resources being used adequately?
- ...

Guidance Questions to Assess Legitimacy
- Do the police respect the democratic political process and accept the need for accountability to the civil authorities? Are the police democratically controlled?
- Do the police and prison officials respect the basic human rights of individuals?
- Are all members of society treated equally by the police/corrections system?
- Are there acts, codes, and statutes that legally govern police behaviour? Are there ways to hold the police accountable for their actions and violations of the rule of law?
- ...

5.2.3 Step 3 - Effectiveness and Legitimacy of the Judiciary

During this third step you will assess the effectiveness and legitimacy of the judiciary. To what extent is the judiciary building institutional capacity for the appropriate mitigation of instability and to uphold a rule of law that is considered fair by all parties? To what extent does it inadvertently exacerbate internal events because of the lack of capacity, political will, or other factors?

Box 5.3 provides you with some sample guidance questions to help you start the assessment. Please include additional measures and data to fit the particular country under study. Important information can also be retrieved from the trend assessment. As you assess the judiciary, take into account Indicator 1, 'Legitimacy of the State'; Indicator 3, 'Rule of Law and Human Rights'; and Indicator 9, 'Group-based Hostilities'.

Box 5.3 Assessing the Judiciary

Using the guidance questions below, please rate the Judiciary's effectiveness and legitimacy. Use the institutional capacity rating sheet to keep track of your ratings.

Institutional Capacity Rating Sheet

Institutional Capacity of the Judiciary		
Effectiveness	*Include remarks that indicate level of effectiveness as well as the factors explaining the findings and the tendency.*	Tendency • Stable • Improving • Deteriorating
Legitimacy	*Include remarks that indicate level of legitimacy as well as the factors explaining the findings and the tendency.*	Tendency • Stable • Improving • Deteriorating

Guidance Questions to Assess Effectiveness
- Are there indications of corruption within the judiciary?
- Are there sufficient juridical facilities in all parts of the country?
- Is access to justice guaranteed for all citizens?
- Is there a back-log in cases?
- ...

5.2.4 Step 4 - Effectiveness and Legitimacy of the Civil Service

During this fourth step you will assess the effectiveness and legitimacy of the civil service. A government can only function effectively if it presides over a competent civil service. This requires adequate funding, trained personnel, and adequate facilities. Absence of these will make the execution of the best plans difficult.

Box 5.4 provides you with some example guidance questions to help you start the assessment. Please add additional measures and data to fit the particular country under study. Important information can also be retrieved from the trend assessment. For assessing the civil service, take into account Indicator 1, 'Legitimacy of the State'; Indicator 2, 'Public Service Delivery'; Indicator 7, 'Demographic Pressures'; Indicator 10, 'Emigration and Human Flight'; Indicator 11, 'Economic Opportunities of Groups'; and Indicator 12 on 'State of the Economy'.

Box 5.4 Assessing the Civil Service

Using the guidance questions below, rate the Civil Service's effectiveness and legitimacy. The institutional capacity rating sheet can be used to keep track of your ratings.

Institutional Capacity Rating Sheet

Institutional Capacity of the Civil Service		
Effectiveness	*Include remarks that indicate level of effectiveness as well as the factors explaining the findings and the tendency*	Tendency • Stable • Improving • Deteriorating
Legitimacy	*Include remarks that indicate level of legitimacy as well as the factors explaining the findings and the tendency*	Tendency • Stable • Improving • Deteriorating

Guidance Questions to Assess Effectiveness
- Is the civil service under- or oversized?
- Are civil servants adequately trained?
- Are certain sectors of service delivery underperforming?
- Are public services delivered to all parts of the country?
- Are public service policies effective in avoiding emergencies?
- ...

Guidance Questions to Assess Legitimacy
- Do all groups in society have equal access to public services or are services limited to specific groups?
- To what extent is the civil service perceived as operating autonomously in relation to government, or operating independently from factions in society?
- Is the civil service perceived as corrupt?
- Are (electoral) promises on public services delivered upon?
- ...

5.2.5 Step 5 - Effectiveness and Legitimacy of Parliament

In this fifth step you will assess the effectiveness and legitimacy of parliament. Parliaments can be effective in holding the executive accountable, or they can act as "rubber stamps" of the ruling parties.

Box 5.5 provides you with some sample guidance questions to help you start the assessment. Include additional measures and data to fit the particular country under study. Important information can also be retrieved from the trend assessment. As you assess Parliament, take into account Indicator 3, 'Group-based Hostilities'; Indicator 7, 'Legitimacy of the State'; and Indicator 11, 'Leadership'.

Box 5.5 Assessing Parliament

Using the guidance questions below, please rate Parliament's effectiveness and legitimacy. Use the institutional capacity rating sheet to keep track of your ratings.

Institutional Capacity Rating Sheet

Institutional Capacity of the Parliament		
Effectiveness	*Include remarks that indicate level of effectiveness as well as the factors explaining the findings and the tendency*	Tendency • Stable • Improving • Deteriorating
Legitimacy	*Include remarks that indicate level of legitimacy as well as the factors explaining the findings and the tendency*	Tendency • Stable • Improving • Deteriorating

Guidance Questions to Assess Effectiveness
- Are bills passed, and within a reasonable amount of time?
- Is parliament proactive in proposing new legislation?
- Is parliament polarized or based on changing coalitions?
- Are political parties, party coalitions, and voting patterns programme-based or personalized, or rather ethnic or identity group-based?
- ...

Guidance Questions to Assess Legitimacy
- Is parliament directly chosen by the people or (partially) appointed by the regime?
- To what extent is parliament operating independently from pressures from the regime?
- Are parliamentarians viewed as corrupt?
- Do political parties represent only elite groups, or do they have broad popular support?
- ...

5.3 Overview of all the Institutions

Finally, the findings of the institutional assessment can be summarized in an overview table like the example in Box 5.6. Please indicate the level (high, fair, low) and explain briefly.

Box 5.6 Overview of Institutional Capacity of all Institutions			
Institutional Capacity Overview Table			
Actor	**Effectiveness**	**Legitimacy**	**Tendency**
Military	• *High* • *Fair* • *Low*	• *High* • *Fair* • *Low*	• *Stable* • *Improving* • *Deteriorating*
Police and Corrections System	• *High* • *Fair* • *Low*	• *High* • *Fair* • *Low*	• *Stable* • *Improving* • *Deteriorating*
Judiciary	• *High* • *Fair* • *Low*	• *High* • *Fair* • *Low*	• *Stable* • *Improving* • *Deteriorating*
Civil Service	• *High* • *Fair* • *Low*	• *High* • *Fair* • *Low*	• *Stable* • *Improving* • *Deteriorating*
Parliament	• *High* • *Fair* • *Low*	• *High* • *Fair* • *Low*	• *Stable* • *Improving* • *Deteriorating*

5.4 Practical Suggestions

Consider the following suggestions during your institutional assessment:

Assess Relative Change: Again, the most relevant outcome of this assessment is to identify the direction in which institutional capacity is moving, if at all. Institutions often change only slowly, and decisions to reform do not necessarily change institutions or institutionalize changes. Government decisions to change might also lead to resistance from within the institutions if they affect the status quo.

Distinguish 'Inability' from 'Unwillingness': The range of available and effective policy options will differ considerably in cases where governments and state institutions are unable to operate effectively and to gain legitimacy, or where they are unwilling to do so. In the latter case, the potential for change might be dependent on the leadership in power. In practice, rhetoric may differ considerably from actual actions and outcomes, and it is not always easy to distinguish between inability and unwillingness.

Compare Donor Agendas to Local Demands: In complex settings, blueprint agendas and 'best practices' often will not produce the desired outcome. You should aim for 'best fit'. State-society relations, for example, may still be firmly rooted in patrimonial, clientelistic ties that guarantee accountability to a certain level. Such ties and expectations cannot be changed overnight. In addition, elections-as a particular measure to guarantee accountability-can carry distorted outcomes in polarized settings or in situations where personalized politics overrule the programmatic base of party politics.

Take Note of 'Majority' and 'Minority' Opinions: Opinions on state effectiveness and legitimacy might differ considerably within a society. They might depend on an individual's or group's position towards the regime in power, or the way in which the person or group is affected by particular policy decisions.

Assess the Relationships between the Institutions: The overall effectiveness and legitimacy of the institutions are partly dependent on the functioning of all of the others. For example, police forces may be effective in solving crimes, but if the judiciary lacks capacity to deal with these cases, the overall effectiveness in reducing crime will remain low.

6. Mapping and Analyzing Political Actors[7]

6.1 Purpose

Institutions tend to change very slowly, but groups and individuals (within and out-side of these institutions) can have a disproportionate impact on the (in)stability of a country or region. Such political actors can play a significant role in driving change, either as spoilers or as partners. The goal of this assessment is to map the landscape of political actors in order to identify who to engage with, how to engage, and how to find entry points for dialogue on policy.

6.2 Four Steps to Map and Analyze Political Actors

The main actors are found inside the country and may range from prominent civil society actors to armed groups. However, some important actors may also be found outside the country in the regional setting, or even at the global level. Your organi-zation may wish to ask the consultant to select the list of political actors to be studied, or you may decide to establish them yourself in the Terms of Reference. See Box 6.1 for an example list of political actors.

Box 6.1 List of Political Actors (Example)

- Ruling party
- Opposition parties
- Armed groups
- Warlords
- Media
- Churches
- Unions
- Business community

- Diaspora
- Criminal networks
- Traditional leaders
- Neighbouring government
- Bilateral donors
- Multilateral organizations
- Other

Note: this list of political actors is not exhaustive and will differ per country

After a careful selection of the main political actors to include in the stability assess-ment, each of these actors needs to be analyzed in at least four different areas as described in the steps below.

[7] This chapter largely draws on the methodology as developed by DfID. See DFID (2002) *Conducting Conflict Assessments: Guidance Notes*. London: Department for International Development. See also Africa Peace Forum, Center for Conflict Resolution, Consortium of Humanitarian Agencies, FEWER, International Alert and SaferWorld (2004) *Conflict-sensitive Approaches to Development, Humanitarian Assistance and Peacebuilding. A Resource Pack.*

6.2.1 Step 1 - Identifying Interests of Actor

This first step asks you to identify the political agenda of the particular actor. What interests does the actor have in relation to stability, instability, or conflict, and how do these interests influence the situation? You should search for the underlying motivation of the actor: his or her concerns, goals, hopes, and fears.

6.2.2 Step 2 - Identifying Strategies followed by Actor

The second step identifies the particular strategies or methods the actor follows to try to reach his or her goals. What solution does (s)he present, separate from the interests and strategies of other parties? You should pay particular attention to the human rights record of the actor and his or her democratic credentials.

6.2.3 Step 3 - Identifying Capacities of Actor

What capacities does the actor have to influence the situation either positively or negatively? 'Capacities' include financial resources, military strength, and the extent of territorial control, but also leadership capabilities, internal cohesion, access to networks, constituencies and alliances, and a popular support base.

6.2.4 Step 4 - Identifying Relationships to Other Actors

What are the interactions between the various actors and at various levels? What are their perceptions about these relationships? Who seems most able to reach across divides to link the political elite to the grassroots level?

The findings from these steps can be summarized in a Political Actor Sheet. Box 6.2 provides an example of what a Political Actor Sheet might look like for a government regime. A similar overview can be made for other actors, including rebel movements, opposition parties, human rights groups, etc.

Box 6.2   Example Political Actor Sheet

Type of Actor	Interests	Strategy	Capacities	Relationships
Government Regime (*democratic, authoritarian, etc.*)	• Political orientation (neo-liberal, socialist, etc.) • Motivation	• Methods • HR record • Democratic credentials	• Support base • Internal cohesion • Resources • Spoiling capacity	• Main partners • Main opponents

6.3 Practical Suggestions

Consider the following suggestions while mapping and analyzing political actors:

Select Not Only the 'Usual Suspects': It could be important to go beyond the list of 'usual suspects' in your analysis. In many cases, analyses focus on spoilers or on direct contending parties. You should also consider actors that are actively engaged in a search for solutions, actors that might be able to bridge the positions of different parties, and provide local capacities for peace.

Avoid 'Container' Concepts of Actors: Be specific about the kind of organizations you include on your list, and avoid grouping together organizations that are heterogeneous. For example, 'civil society' is too broad a term to be listed as a single political actor.

Include Intervening Agents as Actors: In many developing countries with unstable or conflictive settings, international intervening agents play a disproportionately large role. Local actors may be very dependent on them, but some may also try to use international agents to accomplish their own objectives. Consider including an assessment of specific intervening agents, and even of your own organization.

Remember that Political Actors may have Economic Agendas: You may gain some clues about the motivations of certain political actors by doing a wider analysis of the political economy of conflict ('economies of violence'). Economic agendas and greed can be important motivating factors that explain the behaviour of spoilers.

Include formal and Informal Data Sources: In-depth knowledge of the political culture of a country and clear insight into grass-root level politics is needed to provide a reliable and useful actor assessment. You may need to use some unconventional methods to assess political actors, but these will require cross-checking.

7. Mapping and Analyzing Policy Interventions

7.1 Purpose

Policy interventions to redress instability are not invented from scratch for unknown regions or countries. In most cases your organization and others are already active in the region or country and have established networks, activities, and approaches. In order to be effective, these networks, activities, and approaches require frequent evaluation and adaptation to fit changing conditions. It is important to analyze the current portfolio of policy interventions in a country in order to better understand 'who's doing what', the partnerships involved, and the niches left unaddressed. This not only helps redesign policy strategies and implementation schemes to fit sustainable stability objectives, it also increases conflict sensitivity in the overall programming.

7.2 Preparing an Overview of Policy Interventions

You should be able to prepare an overview of current policy interventions by reviewing policy documents. The overview will include activities of your own organization but can also include activities of other important actors like the UN, World Bank, EU, regional organizations, bilateral donors, and international NGOs. The selection of organizations can be specified in the Terms of Reference or left to the consultant.

General Instructions
Information can be grouped on the basis of the three crucial areas: governance, security, and socioeconomic development. Box 7.1 provides an example overview for the area of security. It will be impossible to list all activities undertaken by different actors, so the consultant should group similar activities together. In the 'comments' section, a short qualitative assessment can be made of the strengths and weaknesses of current approaches. Make a note of whether the various organizations have a shared assessment of the situation at hand or whether they differ considerably in their context analysis. This will most likely be reflected in the policy interventions they choose.

Box 7.1 Example Overview of Policy Activities of Major International Actors			
Policy Field	**Organization**	**Approach and Themes**	**Comments**
Security	• NL MFA	• DDR: reintegration program for ex-combatants	• Limited attention for child soldiers and female combatants;
	• DfID	• Security sector reform: training of police and making security bodies democratically accountable	• Strong on police training; weaker on military reform
	• DPKO	• Deployment of UN peacekeeping force	• Limited impact as a result of Chapter VI mandate

Note: Examples in this box are fictitious and do not reflect actual programs

7.3 Practical Suggestions

Consider the following suggestions while mapping and analyzing policy interventions:

Give the Consultant Team Access to Necessary Information and Documents:
Some documents considered to be for 'internal use only' may be crucial for putting together a good overview of policy interventions. The accuracy of the overview, and hence the usefulness of the input to the policy discussions, will depend largely on the information provided by you to the consultant.

Rely on Both Written and Oral Sources: Written documents will contain policy statements, but they don't record all of the richness of field staff expertise, lessons learned, and the impact of projects. Establish a good network of policy-makers and practitioners who can help you attain additional information and assessments.

Develop a Comprehensive Picture of the Policy Environment: Do not limit the overview to the organization's field of operation. The impacts of particular interventions most likely will cross borders between policy fields. For example: increased security will stimulate economic investments; reduced poverty and unemployment might reduce opportunities for political entrepreneurs to mobilize disenchanted groups; and an open political climate of dialogue will reduce the appeal of resorting to violent means. Hence, many activities, though not directly aimed at addressing sustainable stability, might still affect the prospect of (in)stability in one way or another. You should, therefore, be open-minded about the activities to include in your overview.

8. Drawing up a Draft Reference Document

8.1 Purpose

The mapping and analysis phase (desk study) has provided you with vital information on key indicators, institutions, political actors, and current policy interventions. It is likely that there are important linkages between the different analyses. It is also likely that some indicators and actors are more important than others. After having finished your mapping and analysis, you will need to prioritize and cluster indicators, actors, and triggering factors on the basis of their impact on (in)stability and potential conflict. Now you must make a clear and convincing presentation of your findings.[8] The resulting *draft* Reference Document captures your main deliberations; lists the priority trends, indicators, and actors; identifies windows of opportunity; and presents your overall assessment of threats and challenges for future stabilization. See Annex III for an example outline of a *draft* Reference Document.

8.2 Major Trends: Positive or Negative Trends?

The *draft* Reference Document should start by presenting the aggregate trend line for the country and period under study along with a short qualified explanation and extrapolation into the future. In order to provide the details behind the aggregate trend, you should also present the individual trend lines, grouping them according to the respective hazard zones. The course of the trend line will require attention. When there are significant changes in the rating between two or three dates, specify the events and factors that are driving that change. The importance of the indicator, as well as the particular course of the trend and the driving forces behind the fluctuations, might point to appropriate entry points for policy interventions. The scope of potential interventions is large. They might be limited to redressing the most negative indicator trends or the most urgent factors and actors, but they might also be extended to include structural interventions in the field of governance, security, and/or socioeconomic development in order to further strengthen positive trends.

8.3 Institutional Capacity: Generating Power or Redistributing Power?

Next, the *draft* Reference Document should present its assessment on available institutional capacity. Institutions may be weak and lack the power to make and enforce necessary changes. Institutions might also be too strong, with power concentrated in the hands of a few. In the latter case, capacity-building will consist of installing appropriate mechanisms to redistribute power. The relative strength or weakness of the institutions can be the result of their level of effectiveness but also

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[8] The most appropriate format will depend on your reason for undertaking the SAF. The particular parameters for the Reference Document should already be defined in the Terms of Reference. If the exercise results in the development of new country strategies with particular programs, more detail may be required. When it is used as a position paper for political dialogue with a host government, other requirements concerning style and content will prevail. See also Annex III.

of the level of (active or passive) support they receive from major groups in society (i.e. their measure of legitimacy). The (im)balance between legitimacy and effectiveness thus needs careful assessment. Is power itself contested, with no party able to successfully hold on to power? Or is there a struggle for the redistribution of power in a situation where power is concentrated in the hands of a few? The nature of the (im)balance might provide important clues for policy intervention. Lack of capacity is not the only issue that requires consideration. The unwillingness of governments to increase effectiveness and/or legitimacy can also be an obstacle. In this case, institutional change will depend primarily on a change of leadership.

8.4 Political Actors: Partner or Spoiler?

The third part of the *draft* Reference Document presents the results of your mapping and analysis of political actors. It briefly describes the interests, strategies, and capacities of these actors. Most importantly, your presentation should identify the current capacity for peace and the incentives for actors to shift position and strategy accordingly. What actors should be considered (potential) partners? Who are the (potential) spoilers, and why?

8.5 Policy Interventions: Piecemeal or Coherent?

The fourth part of the *draft* Reference Document presents an overview of the major policy interventions of international actors. The three preceding analyses will help you form a judgment on the current international policy response. Are priorities for sustainable stability sufficiently addressed? Are important niches or contradictions observed? Do the projects and programs constitute a coherent whole or do they reflect 'piecemeal' approaches?

8.6 Draft Reference Document: Input for the Workshop

The *draft* Reference Document will provide an input for the workshop that allows for discussion between selected partners and experts. These partners and experts are asked to adapt and bring further nuance to the Reference Document, to build consensus, and to establish a shared assessment as the basis for joint future action and a division of tasks and responsibilities.

Part Three: The Workshop and Beyond

9. The Workshop: Consolidating a Final Reference Document
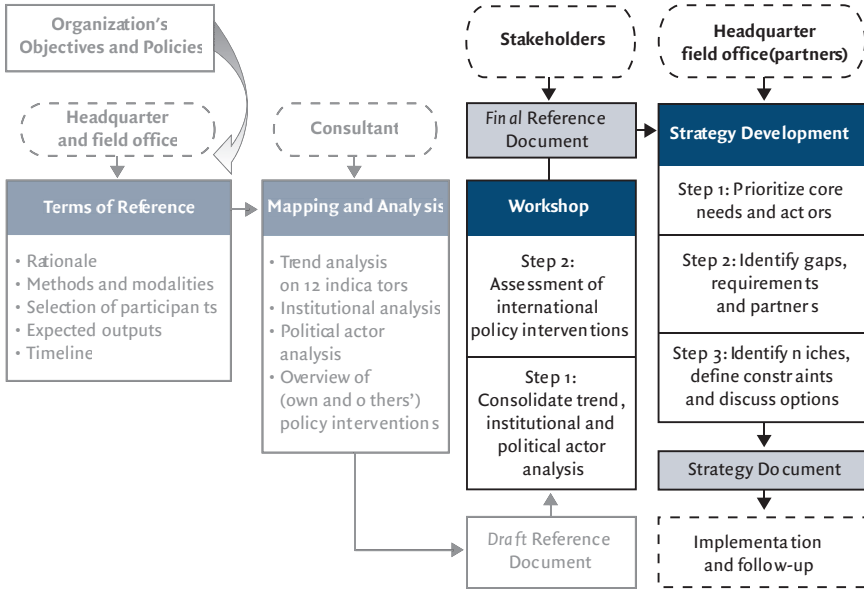
Note: *Depending on your organization's rationale for applying the SAF, you may decide to develop a strategy for sustainable stability promotion jointly with other stakeholders and partner organizations, or you may decide to keep this an internal activity. In all cases, it seems appropriate to finalize the Reference Document in consultation with key stakeholders, which should be invited to participate in a one-day workshop. A second day can be used for a closed debate with staff members of your own organization. But, if so desired, this second day could also include the participation of representatives of (international) partner organizations. To leave you this choice, the two activities of consolidating a final Reference Document and developing a strategy are here separated into the chapters 9 and 10.*

9.1 Purpose

Part Three is the actual core of the Stability Assessment Framework: it helps your organization develop an integrated strategy for sustainable stability promotion. Whereas part Two mainly required consultant(s) to invest time in preparing a *draft* Reference Document, this third and final part actively involves (international) policy makers, staff members, and local partners. In this part, all relevant activities for developing an integrated sustainable stability strategy will be discussed with the participation of members of your organization, important stakeholders, and/or key experts. The *draft* Reference Document serves as an input for discussion, and the outcome of these discussions will be the *final* Reference Document.

The workshop format is considered the most appropriate tool for developing conflict awareness and response capacity, for both strategy and implementation:

- It provides a good opportunity to dialogue and share information with partner organizations or other important actors and to break through the factionalized approaches of specialized organizations;
- *Joint* stability assessment can foster common perspectives as a basis for coherent policy implementation.

The workshop will help build consensus around key issues and provide a platform to express and address differences of opinion. Of course, raising stability or conflict issues with government representatives and civil society can be politically sensitive. You may need to think carefully about how best to make use of the stability assessment as a tool for dialogue.

9.2 Two Steps to Consolidate a Final Reference Document

During a one-day workshop session, you will discuss and consolidate the stability assessment, identifying the major challenges and needs for the country under study and the gaps in current approaches. At the end of the day, together with the other stakeholders, you will have amended the *draft* Reference Document and consolidated a *final* version. The particular activities are described in the steps below.

9.2.1 Step 1 - Consolidate a Joint Stability Assessment

>»»» **To what extent do you agree with the stability assessment as provided in the *draft* Reference Document? What important pieces of information are missing? Are the right conclusions drawn?**

The main inputs for this first step are the indicator trend assessment, the institutional capacity assessment, and the political actor assessment in the draft Reference Document. The draft Document will be presented and discussed by the workshop participants. They can bring in their own expertise and add relevant information sources that are lacking.

During this first step, you can go through the various parts of the *draft* Reference Document, reflecting the tentative trend analysis, institutional capacity analysis, and political actor analysis as described in Chapters 4, 5, and 6 respectively. Not only will this process familiarize you with the views of other participants and provide you with new pieces of information, it will also help you develop a comprehensive view of the country setting and the interrelations between the fields of governance, security, and socioeconomic development.

In small working groups or in a plenary session (depending on the setting), please:
- Discuss and consolidate the indicator trend assessment;
- Discuss and consolidate the institutional capacity assessment;
- Discuss and consolidate the political actor assessment.

Although the aim is to reach consensus, the nature of the assessments are likely to lead to situations in which people differ strongly in their opinion of the ratings for particular indicators or on the role and performance of particular actors or institutions. The workshop setting, however, forces people to substantiate their opinions. If you cannot reach consensus, you should take explicit note of such disagreement. This can be done by highlighting alternative or minority positions in the *final* Reference Document.

9.2.2 Step 2 - Discuss International Policy Interventions

»»» What are the major interventions, activities, and approaches being applied currently? Are these sufficient? Where do you see important gaps or contradictions?

The main input for this second step is the policy overview found in the draft Reference Document. For the discussion, you should bring in your own expertise and add relevant information sources that are lacking in the document.

In working groups or in a plenary session, discuss the priority concerns in the country regarding (in)stability and assess how the current portfolio of international policy interventions addresses these concerns.
• Discuss who the main actors are and what their main strategic approaches entail;
• Discuss existing implementation and coordination structures;
• Discuss successes and failures.

9.3 The Output: A Final Reference Document

The *final* Reference Document will probably follow the same outline as the *draft* version. It should concisely summarize the main outcomes of the discussions and of the consensus reached during the workshop.

• It identifies major trends and highlights the indicators found in the alert or warning zones;
• It suggests which problems to prioritize;
• It assesses the functioning and legitimacy of the main state institutions and identifies key concerns;
• It singles out political actors that have a critical impact on either stability or instability;
• It identifies the main actors' current approaches for addressing these problems.

9.4 Practical Suggestions

Consider the following suggestions while preparing and executing the workshop:

Hire a Facilitator to Prepare and Moderate the Workshop: Many activities for the SAF take place before, during, and after the workshop. Your organization's staff members should participate fully in the workshop discussions and not be limited by logistical concerns. Staff members should not take on the role of facilitator either, as this would force you to hold back or take on a neutral stance in the discussions. Instead, hire a skilled facilitator to prepare and moderate the workshop. This may or may not be the same person as the consultant hired previously.

Limit the Number of Participants: Include a wide variety of actors, expertise, and partners in the process, but be selective as well. The workshop should allow for extensive discussions between all participants. A maximum of 30 participants would be most appropriate. It is up to the organizers (field office in consultation with headquarters) to identify and invite the participants who will be most instrumental in helping to reach your goal.

Carefully Prepare the Workshop Logistics: The level of discussions and usability of the end products depend a great deal on the quality of the workshop. Participants should be accommodated so they can focus their full attention on attending and participating in the workshop. The workshop itself should be carefully structured and stay focused to produce the desired end product. This is a joint responsibility of the workshop facilitator and the convening organization.

10. Developing a Strategy for Sustainable Stability Promotion

10.1 Purpose

Once you have consulted extensively and drawn up a *final* Reference Document, your organization is now ready to start strategizing for policy. Developing strategy can be an internal activity, but given the need for integrated responses, your organization might decide to team up with others. A workshop is once again the best format for carrying out the activities necessary to develop strategy. This time, however, a more limited number of key stakeholders will be present (e.g. staff members of own and partner organizations).

10.2 Three Steps to Develop a Strategy for Sustainable Stability Promotion

During the closed workshop session of the second day, you will discuss the opportunities and constraints, requirements and partnerships, of an effective policy strategy for promoting sustainable stability. During the workshop, participants will share experiences and establish a basis for joint action and integrated policies. The day will be closed with a list of concrete and realistic recommendations for a strategy and its implementation, and these will be consolidated in a *Strategy Document*. The particular steps to be taken are described below.

10.2.1 Step 1 - Prioritize Core Needs and Actors

> »»» **What trends do you discern and what consequences do you foresee? Which needs should be prioritized for stabilizing the situation? Which actors require attention as potential partners or spoilers?**

The main input for this step is the final Reference Document, drawn up at the end of the workshop session on day one.

In order to start the policy discussion, reflect briefly on the *final* Reference Document and identify priority concerns. These priorities should help identify the responses that will be required to confront the challenges of sustainable stability. They will also help identify essential groups or political actors.

10.2.2 Step 2 - Identify Gaps, Requirements, and Partners

> »»» **What gaps do you discern in current approaches? What types of partnerships are required for a comprehensive approach? And what does this entail in terms of implementation and coordination structures?**

The main input for this second step is your earlier identification of the core needs and actors (step 1) and the overview of current policy responses (see the final Reference Document for a mapping of policies). You should be critical and realistic so as to assess the effectiveness of current approaches and to identify where changes are needed.

This step will help identify potential gaps that still need to be addressed. Search for comprehensive responses rather than fragmented ones:

• Discuss how to fill in the gaps and address the issues in an integrated way;
• Discuss which actors to involve and what is required for implementation and coordination structures.

10.2.3 Step 3 - Identify Niches, Define Constraints, and Discuss Options

»»» **Given the *final* Reference Document, is your organization's current intervention strategy adequately able to deal with the developments and priority concerns? Does your organization's portfolio fit the requirements? Do you foresee any problems in adapting your portfolio accordingly? Given the constraints of your organization, what intervention proposals do you consider realistic and effective?**

The main input for this third step is the final Reference Document.

After having discussed adequate responses from a broader perspective, you will also need to analyze the plans, activities, and capacities of your own organization. Your organization is probably already operating in a number of fields and will influence the setting in important ways. Given the findings of the *final* Reference Document, investigate how your organization can more effectively strategize for sustainable stability promotion. This will require a critical look at the standing portfolio of projects, programs, and partnerships.

The following guidance questions could be taken into account:

• Are the current plans of your organization adequate for addressing the core needs and problems?
• What are the gaps?
• What are the requirements for a successful strategy?
• What are the ambitions of your organization? Is the aim to focus on niches, or does it have a broader approach? What are the downsides of focusing on niches?
• Does your organization want to get involved bilaterally, through multilateral channels, through special channels (e.g. NGOs, CSOs), or through a combination of one or more of these?

- What are the capacity limits of your organization in terms of manpower, expertise, and finances? Are you prepared to make extra investments, or should you plan to cooperate with third actors/partners?

As you discuss these questions, avoid making up a long shopping list of desirable interventions in an extensive field of operation. The objective is to identify options that are tailored to the identified problems, yet realistic from the perspective of your organization's capacity.

10.3 The Output: A Strategy Document

The three steps of this second day of the workshop will give your organization's staff enough food for thought to decide on a policy strategy. Not all suggestions that come from the workshop can be taken up, but the whole process should have provided you with important information on how to move from 'best practice' to 'best fit'. The structure of the exercise and the process for sharing information will increase the chances for institutional ownership of the process. The discussions and the documentation of the discussions will also contribute to improving the institutional memory of your organization. This is particularly important given the high turnover of staff members in field offices.

The Strategy Document concisely summarizes the main outcomes of the discussions and consensus from the workshop:

- It should identify the pros and cons of various interventions and instruments;
- It should identify the appropriate intervention level;
- It should identify partnerships and divisions of tasks;
- It should identify realistic objectives and benchmarks.

How this translates into your organization's *implementation* strategies remains, in the end, an internal decision. However, the process towards this decision has been consultative, and broad-based, thereby guaranteeing well-informed decision-making and implementation.

10.4 Practical Suggestion

Consider the following suggestion while preparing and executing the strategy workshop:

Combine the Workshop with an Internal Planning Session: In order to achieve the maximum result of the workshop, you might want to follow-up with an internal session to outline a concrete planning of steps to be taken and measures to be implemented.

11. Suggestions for Application of the Stability Assessment Framework

Once your staff is familiar with the assessment methods, the Stability Assessment Framework can be incorporated-partially or as a whole-into the policy planning cycle of your organization. It then becomes a practical tool to facilitate and structure the process of developing integrated policies. You will have to invest a little more time at first, but the process will move along more quickly each time you use it.

The various parts of the SAF can be used: for stability assessment and context analysis; as a tool for political dialogue; to develop conflict-sensitive policy plans and implementation schemes; or to enable multi-donor cooperation. In principal, the SAF can be applied by any organization working in unstable states. Some of the possible uses of the framework are summarized in Box 11.1.

> **Box 11.1. Applying the Stability Assessment Framework**
>
> - Integrate the SAF in **Year Plan or Multi-Year Strategy Planning Cycle;**
> - Use SAF for **Political Dialogue** with Partners and Local Governments on Program Contents;
> - Use the Saf to prepare **Country Updates:** that keep track of country situations every three or six months, dependent on the nature of developments and levels of instability and insecurity;
> - Combine and Extend Country Reference Documents into **(Sub)Regional Reports:** that track spill-over effects into neighbouring countries and that allow for regional strategy planning and implementation;
> - Extend the SAF with a **Scenario-building Exercise:** When it is necessary to look at longer time horizons, a scenario building exercise could be a follow-up to the SAF. A scenario exercise can concretise a number of likely intermediate steps/events toward a particular scenario, and bring to the forefront strategic interventions that can guide developments in the desired direction.

Annexes

Annex I - Netherlands Policy Views on Sustainable Stability

Towards an Integrated Policy for Peace, Security, and Development
Warfare between and within developing countries in recent years has become an increasing cause of international concern and points to the need for a comprehensive response. The importance of the nexus between peace, security, and development became more prominent in Dutch policies with two watershed policy notes in the early 1990s (*A World of Difference* in 1990 and *A World in Conflict* in 1993). The current Dutch policy is further elaborated in recent policy notes. See Box I.1 for an overview.

Box I.1 Relevant Netherlands Policy Notes and Letters to Parliament

- *Mutual Interests, Mutual Responsibilities; Dutch Development Co-operation en route to 2015*, Netherlands Ministry of Foreign Affairs (October 2003)
- *Post-Conflict Reconstruction*, Netherlands Ministry of Foreign Affairs (2005)
- *Africa Memorandum 2003*, Netherlands Ministry of Foreign Affairs (October 2003)
- *Stability Fund*, Netherlands Ministry of Foreign Affairs (February 2004)
- *Guide Book Good Governance: Perspectives on Development* (2004)
- *Memorandum on Conflict Prevention*, Netherlands Ministry of Foreign Affairs (September 2001)

Most of these policy notes can be found on the website: http://www.minbuza.nl/

Peace, security, and stability are basic prerequisites for a workable society and hence for development. The people most affected by insecurity are the poor. The lack of human security (protection against systemic human rights violations, physical threats and violence, and extreme economic and social risks) is a critical concern for them. Armed conflicts not only create internal disorder, they also tend to spill over into other countries in the region. People lack security when their countries are in conflict but also in situations where the fighting has ended and where authorities cannot yet guarantee public order and safety. In such countries, political and military activities must go hand in hand with reconstruction and development. For this reason, the Netherlands has an integrated approach on issues of peace, security, and development that uses a mix of development co-operation, political, economic, diplomatic, and military instruments.

A broad range of both state and civil society actors have to be involved in the process of achieving sustainable stability and peace. The desired outcome is a *stable* environment, where:
1. The state upholds the rule of law, uses its public sector for equal distribution of (social) service delivery to its citizens, and is therefore ultimately perceived as

legitimate [*governance*];
2. The state holds the monopoly on violence and uses a democratically controlled security sector which is able to guarantee the security of its citizens throughout its territory and is capable of holding off threats from external actors [*security*];
3. Economic development, natural resource management, and basic social services, (healthcare, education, etc.) are provided for [*socioeconomic development*].

Stability Assessment Framework
The Stability Assessment Framework can assist in the development of integrated responses to sustainable stability promotion. In unstable settings, intervening parties must assist development using flexible and innovative approaches that help to avoid violence. They need to bridge policy gaps as well as the operational gaps that derive from institutional specialization (e.g. divisions between the fields of 'hard' security and 'soft' development policies) and from thematic and sectoral approaches. Gaps in funding need to be bridged as well. This framework allows the Netherlands to better incorporate the need for a stable security environment into its programmes and activities.

Promoting Good Governance and Good Policy
After conflict, reconstruction efforts must be focused on conflict management to restore stability and re-establish the conditions for sustainable development. 'Good Governance' initiatives-like fostering participation and decision-making processes and strengthening the state apparatus-are especially important. Without effective democratic governments, efforts to promote development and reduce poverty are ultimately doomed to fail. A government that maintains order and invests in the development of society is crucial for getting a sustainable development process off the ground.

The Netherlands will seek to strengthen the capacity of states to adopt and enforce regulations; boost their administrative and technical capacity to achieve account-ability, transparency, efficiency, and effectiveness; and improve their revenue base. It will also support democratization processes and the introduction of institutional checks and balances through national and international channels, e.g. through the New Partnership for Africa's Development (NEPAD).

Security Sector Reform
The lack of security is one of the main perils for the poor. Both poor people and poor nations are disproportionately affected by insecurity. A democratically run, account-able, competent, effective, and efficient security sector helps to reduce the risk of conflict and promote the security of people and of the state. Because poor countries often lack the capacity to deal with security issues, however, a poverty-insecurity trap is created. Post-conflict countries are particularly prone to revert to violent conflict. Security Sector Reform should, therefore, be an integral part of the development agenda.

There is also a growing consensus that for there to be a secure environment, a country's security forces must be subject to the rules of democratic control. Security is as much a public good as health care or education and should be subject to the same broad set of rules and procedures. Civilian democratic control and oversight of the security sector; professionalism of the security bodies; adherence to the rule of law; and transparent and accountable security sector expenditure management are key elements of such an approach.

Stability Fund
The Netherlands has decided to create a Stability Fund, a facility that finances the enhancement of an integrated policy in the field of peace, security, and development.

The Stability Fund combines expertise from both the political and the development sides. The purpose of the fund is to provide rapid, flexible support for activities at the interface between peace, security, and development in countries and regions emerging from, or at risk of sliding into, armed conflict. The Stability Fund will enable coherent, integrated use of the various foreign policy instruments and resources and will be able to draw on both the development (ODA) and general foreign policy (non-ODA) budgets.

The Netherlands can use the new Stability Fund to boost local peacekeeping capacity in post-conflict countries and to help build an effective security sector under civilian control. The Stability Fund can also be used to provide quick and effective contributions of finance, material, and personnel for multilateral disarmament, demobilisation, re-integration (DDR) and mine clearance operations.

Annex II - The Twelve Indicators

Indicator 1: Legitimacy of the State

State legitimacy is a key factor for the stability of a country. If legitimacy of the state is contested and challenged by groups within society because it is no longer seen as representing the interests of society as a whole, the stability of a country is in serious danger.

General Guidance Question

To what extent is state legitimacy affected by (perceptions of) limited political representation, transparency, and accountability; or by rising corruption or profiteering by ruling elites, resulting in widespread loss of popular confidence in state institutions and processes?

a. Do the ruling elites engage in massive or endemic corruption or profiteering?
b. Do the ruling elites resist transparency, accountability and political representation?
c. Is there a widespread loss of popular confidence in state institutions and processes (reflected in mass demonstrations, sustained civil disobedience, boycotted or contested elections, inability of the state to collect taxes, rise of armed insurgencies)?
d. Is there a growth of crime syndicates linked to the ruling elites?
e. Is there public consultation in decision-making, public debate on matters of public interest, and accountability to the public? Are there policies that deny equal access to power or distribution of power?
f. Is the political system well-integrated across the country? To what extent is there a concentration of power, a process of decentralisation, fair representation of regions in central decision-making institutions, regional integration?
g. ...

Indicator 2: Public Service Delivery

One of the key factors on which government performance will be assessed by society is public service delivery. If services are seriously hampered or limited to specific groups in society, this may have serious effects on the stability of a country.

General Guidance Question

Are essential public services (health, education, infrastructure) and security being delivered in a progressive fashion, or are they deteriorating and becoming limited to those agencies that serve the ruling elites?

a. Is there a deterioration or disappearance of basic state functions (e.g. a failure to protect citizens from violence, a failure to provide essential services such as health care, education, sanitation, public transportation)?
b. Is the state apparatus limited to agencies that serve the ruling elite, such as the security forces, presidential staff, central bank, diplomatic service, customs and collection agencies?
c. Is there equal access to education and health services? Are there significant regional differences in access?
d. Is public employment used to diffuse social tensions at the expense of efficiency and effectiveness?
e. ...

Indicator 3: Rule of Law and Human Rights

Another key factor on which to assess the performance of the government is its record on the application of the rule of law and human rights. Deterioration of this record can be an indication that the government is losing its grip and that it increasingly relies on repressive means to stay in power.

General Guidance Question

Are constitutional and democratic institutions and processes increasingly suspended or manipulated, leading to arbitrary application and widespread abuse of legal, political, and social rights, or are human rights and the rule of law respected?

a. Do you notice an emergence of authoritarian, dictatorial, or military rule in which constitutional and democratic institutions and processes are suspended or manipulated?
b. Has there been an outbreak of politically inspired violence against innocent civilians?
c. Has the number of political prisoners or dissidents been rising, and are they denied due process consistent with international norms and practices?
d. Do you notice a widespread abuse of legal, political, and social rights, including those of individuals, groups, or cultural institutions? Is there, for example, harassment of the press, politicization of the judiciary, domestic use of military for political ends, religious or cultural persecution, or public repression of political opponents?
e. ...

Indicator 4: Leadership
A certain level of disagreement among elites and groups in society is not necessarily problematic. However, when elites and leaders start to become more overtly hostile towards one another, and even totally reject each other, chances of destabilization increase.
General Guidance Question
Is there an increase in the fragmentation of ruling elites and state institutions along group lines, using nationalistic political rhetoric, or do leaders increasingly win loyalties across groups or factions in society? a. Do you see a fragmentation of ruling elites and state institutions along group lines? b. Are ruling elites increasingly using a nationalistic political rhetoric of communal irredentism (e.g. 'a greater Serbia') or of communal solidarity (e.g. 'ethnic cleansing' or 'defending the faith')? c. Is the authority of the state challenged on the basis of religion, ethnic identity, gender, or customary, traditional or indigenous practices or groups? d. ... e.

Indicator 5: Security Apparatus

The role of the security apparatus in politics is an important indicator for assessing the level of democratic control and governance. In countries where democratic, civilian control is weak, the chances of destabilization increase.

General Guidance Question

Is the security apparatus operating with impunity, serving the interests of a dominating military or political clique, or is it increasingly professional and answerable to legitimate civilian control?

a. Do you see signs of an emergence of an elite corps that operates with impunity?
b. Do you see an emergence of state-sponsored or state-endorsed private militias that terrorize political opponents, suspected 'enemies', or civilians seen to be sympathetic to the opposition?
c. Does the army increasingly serve the interests of the dominant military or political clique?
d. Are rival militias, guerrilla forces, or private armies emerging in an armed struggle or in protracted violent campaigns against state security forces?
e. ...

Indicator 6: Regional Setting

Conflicts and tensions easily spill across borders and contribute to domestic instability.

General Guidance Question

To what extent is domestic stability threatened by regional interventions?

a. Is there regional instability? Will violence flow across borders?
b. Do neighbouring governments support rebel movements and armed factions?
c. Is there extensive cross-border trade of illegal goods, including weaponry?
d. ...

Indicator 7: Demographic Pressures

Pressures deriving from high population density may have destabilizing effects either because they arise suddenly without adequate responses or because they (systematically) affect particular groups in society.

General Guidance Question

Are the pressures related to high population density, particular group settlement patterns, or skewed population distribution increasing or decreasing?

a. Are there pressures deriving from high population density relative to food supply and other life-sustaining resources?
b. Are there pressures deriving from group settlement patterns that affect the freedom to participate in economic activities, travel, social interaction, religious worship etc.?
c. Are there pressures deriving from group settlement patterns and physical settings, such as border disputes, occupancy of land, access to transportation outlets, control of religious or historical sites, or proximity to environmental hazards?
d. Are there pressures from skewed population distributions, such as a 'youth bulge'?
e. Are there pressures from divergent rates of population growth among competing communal groups?
f. Do certain regions or social groups have more access to natural resources than others? Is there an effective and sustainable management of resources? Is there competition over scarce resources (land, water, etc.)?
g. Is the propensity for natural disasters adding additional strain onto governments, society, and institutions?
h. ...

Indicator 8: Refugee and Internally Displaced Persons (IDP) Situation

The forced uprooting and resettlement of refugees can destabilize whole countries or regions; increase tensions between residents and 'newcomers'; and-when resources are already scarce-create humanitarian emergencies.

General Guidance Question

To what extent do forced uprooting or resettlement patterns of large communities cause larger humanitarian and security problems?

a. Have large communities been forcibly uprooted as a result of random or targeted violence?
b. Has this uprooting led to food shortages, disease, lack of clean water, land competition, and turmoil that could spiral into larger humanitarian and security problems both within and between countries?
c. How are resettlement programs managed? Is there a balance between IDPs/refugees and host communities?
d. Are infrastructure problems keeping the country from recovering in a balanced way from emergencies and/or war? Are certain regions at an advantage and rebuilding faster?
e. Are there significant numbers of landmines that prevent a return of refugees?
f. …

Indicator 9: Group-based Hostilities

Long histories of exclusion, warfare, or stereotyping may have devastating effects and are difficult to erase. In many situations these existing hostilities are used politically in a way that contributes to instability and further increases tensions and distrust.

General Guidance Question

Is there a history of group-based hostilities that provides a cause for vengeance-seeking activities like institutionalized political exclusion, public scapegoating, or patterns of atrocities with impunity? Or are such group-based hostilities absent or reducing?

a. Is there a history of aggrieved communal groups based on recent or even centuries-old injustices?
b. Are there patterns of atrocities that are committed with impunity against communal groups?
c. Are there specific groups singled out by state authorities, or by dominant groups, for persecution or repression?
d. Is there institutionalized political exclusion, e.g. low representation of women in parliament?
e. Is there public scapegoating of groups as evidenced in the emergence of 'hate radio', stereotyping rhetoric, or nationalistic political rhetoric?
f. Are identity-based discourses and other forms of defining the 'other' developing?
g. …

Indicator 10: Emigration and Human Flight

In countries where the economic/political/security situation is deteriorating, people often start to 'vote with their feet' by moving to other countries.

General Guidance Question

To what extent do (voluntary) emigration rates relate to fear of persecution, repression, or to economic deterioration, leading to a brain drain of professionals and economically productive segments of the population?

b. Is there a 'brain drain' of professionals, intellectuals, and political dissidents who fear persecution or repression?
c. Is there a voluntary emigration of 'the middle class' (economically productive segments of the population such as entrepreneurs, business people, artisans, and traders) due to economic deterioration?
d. Is there a growth of exile communities?
e. How do patterns of diaspora organization and human flight connect?
f. ...

Indicator 11: Economic Opportunities of Groups

Inequitable economic development can have destabilizing effects, especially when there are clear differences between opportunities or services available to different groups.

General Guidance Question

Are there any real or perceived inequalities along group lines in terms of income, access to education, jobs, or economic status, and do such (perceived) inequalities lead to group-based impoverishment or rise of exclusive group identity?

a. Are there group-based inequalities, or perceived inequalities, in access to education, jobs, and economic status (e.g. signs of 'relative deprivation')?
b. Is there group-based impoverishment as measured by poverty levels, infant mortality rates, education levels etc?
c. Is there a rise of communal nationalism based on real or perceived group inequalities?
d. In what ways do political, social, and economic elites overlap? Are privatisation processes benefiting a particular elite or group? Does land reform threaten elite interests?
e. ...

Indicator 12: State of the Economy

Periods of sharp economic decline or improvement can have all kinds of effects. Economic decline can affect certain groups in society or affect the performance of the government as a whole. In such cases corruption can begin to thrive and hidden economies start to grow.

General Guidance Question

Are there any sharp changes in the macro-economic climate, such as a decline in growth, commodity prices, foreign investments, or national currency; changes resulting from sharp policy reforms or austerity programs; or growth of hidden economies, corruption, and illicit transactions?

a. Is there a pattern of progressive economic decline in society as a whole as measured by per capita income, GNP, debt, child mortality rates, poverty levels, business failures, and other economic measures?
b. Has there been a sudden drop in commodity prices, trade revenue, foreign investment, or debt payments?
c. Has there been a collapse or devaluation of the national currency?
d. Do economic austerity programs impose extreme social hardship? Is there a growth of hidden economies, including the drug trade, smuggling, and capital flight?
e. Has the state failed to pay the salaries of government employees and armed forces or to meet other financial obligations to its citizens, such as pension payments?
f. How do Structural Adjustment Programs or other economic reform programs influence the macro-, meso- and micro-economic conditions?
g. ...

Annex III - Outline of a Reference Document (Example)

Outline of a Reference Document

I Indicator Trend Analysis

Summarize the major trends and warning indicators. This will help to identify some of the key issues in the three areas of governance, security, and socioeconomic development. For an example, see below.

Governance
- Pattern of exclusive governance
- Representation of groups and geographic areas in central government
- Support base for the policy process/peace process/agreement
- Role of elections
- Institutional (in)capacity to administer and deliver services
- Institutional (in)capacity to enforce the rule of law
- Federalism and Decentralization
- Issue of self-determination
- Relationship between traditional authorities and elected representatives
- Identification of core needs

Security
- Security setting and interim arrangements
- Hot spots
- Handover of areas to civilian administration
- Oversight and reform of security sector/agencies
- DDR/SSR
- Return of refugees and IDPs
- Cross-border instability and links with neighbouring countries
- Flow of weapons
- Deep-seated animosities and negative stereotypes
- Deployment of an international peace support force
- Identification of core needs

Socioeconomic Development
- Long-standing structural inequalities between regions
- Inequalities within regions and between groups, sectors, etc.
- Governance of the private sector
- Sources of economic growth
- Foreign debt
- Resource exploitation
- Infrastructure projects
- Fiscal decentralization
- Competition over access to natural resources (water and land)
- Identification of core needs

II Institutional Analysis

Summarize the capacities of the major domestic institutions

- Legitimacy and effectiveness of the Military
- Legitimacy and effectiveness of the Police and Corrections System
- Legitimacy and effectiveness of the Judiciary
- Legitimacy and effectiveness of the Civil Service
- Legitimacy and effectiveness of Parliament
- Identify core needs and key actors to address and involve in future plans

III Political Actor Analysis

Summarize the role of local political actors as drivers for change and stability or as spoilers.

IV International Organizations, Donors and Their Policy Interventions

Summarize the findings on current external policy intervention practices and how these fit local conditions and priority concerns.

- Role of the UN, WB, IMF, EU, regional organizations, bilateral donors, international NGOs and, if applicable, the private sector
- Overview of current approaches and gaps with regard to core needs
- Identify policy requirements for addressing core needs in an integrated way
- Identify requirements for implementation and coordination structures

List of Abbrevations

CRU	Conflict Research Unit
CSO	Civil Society Organization
DDR	Disarmament, Demobilization and Reintegration
DFID	British Department for International Development
DMV/VG	Directorate Human Rights and Peace-building/Peace-building and Good Governance Division
DPKO	United Nations Department of Peacekeeping Operations
EU	European Union
GNP	Gross National Product
IDP	Internally Displaced Person
IMF	International Monetary Fund
KANU	Kenya African National Union
NARC	Kenya National Rainbow Coalition
NEPAD	New Partnership for Africa's Development
NGO	Non-governmental Organization
NL MFA	Netherlands Ministry of Foreign Affairs
ODA	Official Development Assistance
SAF	Stability Assessment Framework
SSR	Security Sector Reform
UN	United Nations
UNDP	United Nations Development Programme
WB	World Bank

About the Authors

The Clingendael Institute & Conflict Research Unit (CRU)
The objective of The Netherlands Institute of International Relations 'Clingendael' (the Clingendael Institute) is to promote understanding of international affairs by means of research, the publication of studies and the organization of courses and training programmes. It acts in an advisory capacity to the Dutch government, parliament and social organizations. The Clingendael Institute actively works together with similar research and training institutes in the Netherlands and abroad.

The Conflict Research Unit (CRU) started in 1996 as a special unit within the Research Department of the Clingendael Institute. The CRU has since focused its activities on issues of conflict prevention and post conflict reconstruction with the aim to provide policy options, assessment instruments and tools to the (inter)national policy community.

Suzanne Verstegen is a development sociologist with a special research interest in socio-economic topics. She joined the CRU in 1998 and has since worked and published on the topics of early warning, conflict prevention policy, poverty-related conflict and fragile states.

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**Buitenlandse
Zaken**