MEASURING PROGRESS IN CONFLICT ENVIRONMENTS (MPICE)

- A METRICS FRAMEWORK
FOR
ASSESSING CONFLICT TRANSFORMATION
AND
STABILIZATION

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FORWARD

There has been a longstanding need for "Measures of Effectiveness," as they are often called in the private sector, focused on diplomatic, military and development efforts in places prone to conflict. Traditionally, US Government agencies have tended to measure outputs, such as the number of schools built, miles of roads paved, or numbers of insurgents killed. Outputs, however, measure what we do and not what we achieve. Outcomes, or "effects" as they are known in the military's glossaries, indicate the success or failure of project or mission efforts, since they seek to measure the attainment of conditions that engender stability and self-sustaining peace.

The US government (particularly Department of Defense, US Institute of Peace, US Agency for International Development (USAID) and Department of State) has been actively working with a broad array of partners (multinational, NGOs and academia) to develop new capabilities for stability operations. The Measuring Progress in Conflict Environments (MPICE 'pronounced 'M-Peace') project has developed an overarching framework of indicators that measure outcomes over time and across five sectors (Governance, Economics, Security, Rule of Law and Social Well-Being).

The MPICE foundation was built on the US Institute of Peace Special Report in 2005 (http://www.usip.org/pubs/specialreports/srs/srs1.html) that recommended a framework to measure progress toward reducing the means and motivations for violent conflict and building local capacity to resolve conflict peacefully based on the work of the "Working Group on Measuring Progress" with the Center for Strategic and International Studies.

The MPICE Framework also benefited from the National Science and Technology Council's Regional Stability Interagency Working Group (RSIWG) efforts (see Research and Development Challenges (http://www.ostp.gov/cs/nstc/documents_reports) in Regional Stability and Capacity Building that was co-led by the Research and Development Directorate of the US Army Corps of Engineers (CERD) and the Science and Technology Office at the Department of State (STAS). As part of the Army G3's Dwight D. Eisenhower National Security Conference Series, the US Army Peacekeeping and Stability Operations Institute (PKSOI) requested CERD and STAS convene an event on metrics for stability operations based on their work with the RSIWG. Capitalizing on USIP's work, a collaborative effort ensued that recognized gaps in the interagency capability to measure outcomes and effects.

The MPICE Framework is structured around determining conflict drivers and state/society institutional capacity, as conceptualized by USIP (*Quest for Viable Peace*), the Fund for Peace, and others. The premise states that if conflict stabilization and societal reconstruction is a process continuum spread between violent conflict and sustainable security at opposite ends, viable peace should be considered the middle or "tipping point" where external intervention forces can begin to hand over driving efforts to local forces and capacities. The MPICE Framework is intended to provide monitoring and evaluation assessment teams with a capability to generate substantial insight into conflict environments and gauge progress with respect to this continuum.

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PURPOSE

This document constitutes the Measuring Progress for Conflict Environments (MPICE) Framework. The Framework is a hierarchical metrics system of *outcome-based* goals, indicators and measures. Once collected, the measures can be aggregated to provide indications of trend toward the achievement of stabilization goals over time.

Purpose: To establish a system of metrics that will assist in formulating policy and implementing operational and strategic plans to transform conflict and bring stability to war-torn societies. These metrics provide both a baseline operational- and strategic-level assessment tool for policymakers to diagnose potential obstacles to stabilization prior to an intervention, and an instrument for practitioners to track progress from the point of intervention through stabilization and ultimately to a self-sustaining peace. This metrics system is designed to identify potential sources of continuing violent conflict and instability and to gauge the capacity of indigenous institutions to overcome them. The intention is to enable policymakers to establish realistic goals, bring adequate resources and authorities to bear, focus their efforts strategically, and enhance prospects for attaining an enduring peace.[1]

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[1] This is the first published version of the MPICE Framework. It will be followed by future updates and refinements, the first of which is anticipated to be November 2008. The MPICE Handbook contains additional documentation and is in the final editing stage.

STAGES OF CONFLICT TRANSFORMATION AND STABILIZATION

STAGE 0 - IMPOSED STABILITY: Drivers of violent conflict persist, requiring the active and robust presence of external military forces, in partnership with a sizable international civilian presence, to perform vital functions such as imposing order, reducing violence, delivering essential services, moderating political conflict, and instituting an acceptable political framework pursuant to a peace accord.

STAGE I - ASSISTED STABILITY: Drivers of violent conflict have been reduced to such an extent that they can be largely managed by local actors and developing indigenous institutions, enabling the reduction of outside military intervention and civilian assistance to levels that can be sustained by the intervening parties over the long term. (Note: Elsewhere this stage has been called viable peace[2] or sustainable peace).

STAGE II - SELF-SUSTAINING PEACE: Local institutions are able to cope effectively with residual drivers of violent conflict and resolve internal disputes peacefully without the need for an international military or civilian administrative presence. (Note: The Fund for Peace defines this condition as 'Sustainable Security.'[3])

MAJOR MISSION ELEMENTS/SECTORS OF CONFLICT TRANSFORMATION AND STABILIZATION

Political Moderation & Stable Governance
Security
Rule of Law
Economic Sustainability
Social Well-being

STAGE 0   STAGE I   STAGE II
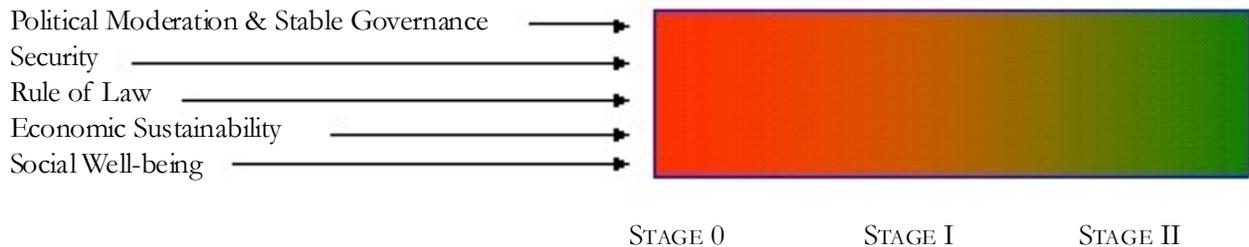
In devising measures to assess initial conditions and measure progress for each Major Mission Element/Sectors identified above, two issues are paramount:

- o What are the motivations or means that drive conflict, and
- o What is the capacity of indigenous institutions to resolve conflict peacefully and maintain stability?

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[2] See Jock Covey, Michael J. Dziedzic, and Leonard R. Hawley, Eds. *The Quest for Viable Peace: International Intervention and Strategies for Conflict Transformation* (Washington, DC: United States Institute of Peace Press and the Association of the United States Army, 2005).

[3] See "Conflict Resolution: A Methodology for Assessing Internal Collapse and Recovery," by Pauline H. Baker, in *Armed Conflict in Africa,* Carolyn Pumphrey and Rye Schwartz-Barcott, eds. (Triangle Institute for Strategic Studies, Lanham, MD and Oxford: The Scarecrow Press, 2003).

There are a number of data collection and analysis methodologies that can be used with MPICE, including Content Analysis, Expert Knowledge, Quantitative Data and Surveys. These four methodologies are described below and are assigned to the measures in the Framework as recommended means with which to capture data. They are suggestive and not exclusive.

Content Analysis (CA): Involves surveying media publications in order to gauge popular and/or elite impressions of an issue.[4]

> *Advantages:* Relies on readily available publications; newspapers, in particular, can be important shapers of public opinion.

> *Disadvantages:* Difficult to choose which publications to survey; Labor intensive process of conducting the analysis.

Expert Knowledge (EK): Entails creating a panel of independent, knowledgeable, and experienced experts to assess an issue of interest (e.g. the capacity of law enforcement agencies to perform essential administrative and bureaucratic functions). In this case, a panel of 3-5 experts might be used to observe operations in the field and to report on their quality. The reliability and replicability of the findings depend on specifying the evaluation criteria and data gathering methodology in advance and following them consistently in the field.

> *Advantages:* Experts have the knowledge and expertise to offer informed and useful opinions on a situation and can make sound qualitative judgments in a relatively short period. They may be used to study program documents, interviews participants, and make observations in the field. The major costs involved are salaries and travel rather than complicated data-collection procedures.

> *Disadvantages:* Experts may have political agendas to advance; one needs to be wary of relying on a biased sample of experts. It is especially important that the panelists be capable of independent judgment. They cannot be permanent employees of the contracting agency or have a financial stake in the future of the program being evaluated.

Quantitative Data (QD): Utilizes a variety of quantitative data relating to security, standard of living, and economic development, for example, to assess the situation in a country.

> *Advantages:* Statistics can appear to be a more objective way of assessing progress; Provide a useful standard for comparing progress at two different times.

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[4] The Fund for Peace's Conflict Assessment System Tool (CAST) uses content analysis to assess the degree to which drivers of conflict improve or worsen as well as to determine the strength of key institutions (based on three criteria: legitimacy, representativeness and professionalism). CAST scans data from over 11,000 sources (including reports from the media, government and NGOs). CAST currently evaluates a number of rule of law and human rights areas, including the degree of criminalization and corruption of the state and evaluations of the domestic police force, corrections system, and judicial system. CAST can be used for countrywide or province-level analysis.

Disadvantages: Can be difficult to locate reliable indicators of the larger issue one is assessing--for example, some have argued that number of deaths per month alone is not a particularly good indicator of the strength of the insurgency in Iraq; Statistics are easily manipulated to accommodate a variety of interpretations.

Survey/Polling Data (S/PD): Involves conducting public opinion surveys in order to assess how the public views a variety of issues.

Advantages: Can provide useful general overview of societal views and values; can easily be conducted on a large number of people, which provides more confidence in the findings.

Disadvantages: Surveys must be carefully designed to ensure that the sampled public is representative; poorly worded questions or untrained survey conductors can lead to inaccurate responses.

TAILORING MPICE TO THE ENVIRONMENT

Policy makers will establish the national goals or international mandates to be achieved. Since the goals, indicators, and measures contained in the MPICE Framework are generic in nature, they must be adapted to the specific policy goals, conflict dynamics, and cultural peculiarities relevant to each conflict setting. This process is described in detail in the MPICE User's Handbook. Two salient methodological issues are noted here.

The first issue is the selection of appropriate measures to collect against. There is a requirement to identify which of the over 800 measures are relevant to the particular policy goals and entrenched sources of conflict in each case. This 'down-selection' process entails identifying a manageable number of measures that are of greatest relevance to the conflict environment.

The second issue is to adapt the selected generic measures to make sense in each unique cultural context. Although one of the prominent concerns in crafting the measures was to avoid cultural or western bias, the MPICE Framework cannot claim to have captured the full range of cultural diversity that exists or to be free of unintended biases. One method of addressing any residual bias is the tailoring process. The purpose is to adapt the "down-selected" measures to each cultural context, especially by recognizing that different structures and processes may be used to achieve a given function. The other way to expand the cultural diversity of the measures is to identify any that may have a western bias and modify these in future versions of MPICE. The Western nature of the Framework is therefore recognized by the authors. MPICE is an evolving system of concepts, processes and tools, and so too is this Framework. Recent peer reviews, testing, and fielding of MPICE in stabilization environments have provided the authors with a rare opportunity to continue refining the Framework by drawing in terminology that is more reflective of local, indigenous concepts of governance, security, economy, rule of law and social well being. This will result in a forthcoming version of MPICE that will include measures and metrics that are more accurately reflective of local community standards and ethics (e.g., social cohesion, the importance of local customs, tribal law, local laws, natural resources, belief systems).

TREND

Once collected, the data can be aggregated and analyzed to establish trends over time. Each measure within this Framework has a 'tag' identifying the preferred trend direction:

> '`+' indicates the preferred trend is increasing or positive;
> '`-' indicates the preferred trend is decreasing or negative;
> '`d' indicates that the preferred trend depends on other conditions. These conditions will be fully specified in future versions of the Framework.

The fundamental premise of 'Conflict Transformation and Stabilization' is that sustainable peace is achieved by decreasing drivers of conflict and increasing the performance of institutions to the point that they are able to address and peacefully resolve conflict. The measures are structured in such a way that the majority of drivers should decrease over time and the performance of institutions should increase over time. For example, the Drivers of Conflict goal 'External Destabilization

Diminished', with the indicator 'Do perpetrators of political violence find sanctuary and support in neighboring states?' has three measures (p. 11):

- o Presence of perpetrators of political violence from the stabilization, security, transition and/or reconstruction (SSTR) state/region in neighboring countries. (EK)`-
- o Refusal by neighboring states to extradite indicted members of armed factions. (EK)`-
- o Refusal of neighboring states to take measures to control the common or shared border. (EK)`-

For stabilization to progress, these measures should decline over time.

Similarly, the institutional goal: 'Delivery of Essential Government Services Strengthened', with the indicator, '*Are public expectations for provision of essential public services and utilities being met?*' has two measures (p. 13):

- o Perception of the quality of life following international intervention (By identity group). (S/PD)`+
- o Level of public satisfaction with accessibility of essential government services and utilities. (By identity group) (S/PD)`+

These measures should increase over time.

However, there are some measures that may not be uniformly indicative of progress or deterioration. These measures may be influenced by an intervening variable such as the stage the conflict is in or by influences peculiar to a specific location (e.g. local, regional or national level). Thus these measures, while generally valuable, require an additional degree of interpretation.

For example, the 'Delivery of Essential Government Services Strengthened' goal, with the indicator '*Are the various levels of government capable of providing essential services, utilities and functions?*', has a measure:

- o Number of essential government functions that are being performed by international actors. (QD)`d

This measure has been tagged as dependant --`d - because it is not a measure of Institutional Performance that is necessarily always desired to trend to the positive or negative. The 'number of essential government functions that are being performed by international actors' is likely to rise throughout the first months after an intervention, and this should not be taken as a negative indicator at that stage. Indeed, the sooner international assistance providers can provide a peace dividend, the better. The subsequent replacement of international service providers by indigenous authorities is unambiguously a positive trend.

The 'Delivery of Essential Government Services Strengthened' goal, with the indicator '*Does a professional civil service exist?*', has the measure:

- o Perception of the degree of corruption in the civil service. (By identity group)

This measure has been tagged as dependant - `d - because it is a measure of Institutional Performance that may be influenced by other factors. While normally a reduction in the 'perception of the degree of corruption' is desired, there could be an increase that is purely a function of other positive developments. For example, an increase in media attention may be the cause, which itself may indicate actual corruption, perceived corruption or an increased freedom of the press to report on corruption. Another factor might be growing awareness of the government's responsibilities the public.

Measures tagged with a "d" should be thoroughly assessed to determine what direction indicates progress and under what conditions.

POLITICAL MODERATION AND STABLE GOVERNANCE

STAGE I OBJECTIVE: Competition for power and political grievances that spawn violent conflict are being addressed and channeled into nonviolent processes and participatory institutions with a level of continuing international involvement and oversight that is sustainable.

STAGE II OBJECTIVE: Political institutions and participatory processes function legitimately and effectively without international intervention to manage competition for power peacefully and mitigate incidents of political violence.

GOALS:

I. **Diminish the Drivers of Conflict**
   (*If present, these factors must be diminished*)

   A. Competition for Exclusive Power Diminished
   B. Political Grievances Diminished
   C. External Destabilization Diminished

II. **Strengthen Institutional Performance**
   (*If weak or non-existent, these factors must be strengthened*)

   A. Peace Process Strengthened
   B. Delivery of Essential Government Services Strengthened
   C. Governmental Legitimacy, Responsiveness, and Accountability Strengthened
   D. Political Parties Strengthened
   E. Respect for Minority Rights and Electoral Rights Strengthened
   F. Citizen Participation and Civil Society Strengthened
   G. Free and Responsible Media Strengthened

DRIVERS OF CONFLICT

(If present, these factors must be diminished)

A. Competition for Exclusive Power Diminished

To what extent do political elites/leaders and identity groups perceive the political process in exclusive (i.e., "zero-sum") terms?

- Perception among identity group members that loss of power (e.g. to other identity groups) will eliminate the prospect of regaining power in the future. (S/PD)`-
- Perception among identity group members that loss of power (e.g. to other identity groups) will eliminate the prospect of progressing economically in the future. (S/PD)`-
- Public rhetoric from political elites/leaders asserting that their rivals have negotiated the peace settlement in bad faith (i.e. that the settlement is a trick or that their rivals will manipulate the peace settlement to assert control over security forces). (CA)`-
- Number of assaults and assassinations perpetrated by members of one of the former warring factions against leaders of other identity groups. (QD, EK) `-
- Number of assaults and assassinations perpetrated by members of one of the former warring factions against other members of their own identity group. (EK)`-
- Revisions to the Constitution or governance principles document to permit continuation in power of the incumbent. (EK)`-
- Revision of the electoral code to favor the incumbent. (EK)`-

To what extent are political elites/leaders polarized on the basis of their identity?

- Importance of identity group membership as a requirement for political leadership. (S/PD)`-
- Prominence of inflammatory and exclusionary rhetoric in the discourse of political elites/leaders. (CA)`-

B. Political Grievances Diminished

Are there unresolved war aims?

- Assessment of the peace settlement to determine the extent to which issues that have instigated violent conflict remain unresolved or are treated ambiguously (e.g., Resource-rich areas not under effective government control, geographic flashpoints not under impartial management). (EK)`-

Are atrocities committed against opposition identity groups on a systematic basis? (See Rule of Law)

- Number of incidents of political violence, to include extra-judicial killings, disappearances, massacres, vandalism, "ethnic cleansing." (By identity group) (QD, CA)`-
- Prosecution rates for incidents of political violence, to include extra-judicial killings, disappearances, massacres, vandalism, "ethnic cleansing (By identity group). (QD)`-

Do state authorities or dominant groups engage in political exclusion, repression of dissent, or scape-goating on the basis of group identity?

- o Representation of identity group members in state entities (Ministries) or institutions controlled by the state (schools, parastatals, etc.) relative to their share of the total population. (QD)`d
- o Official disruption of public assemblies, marches or demonstrations organized by opposition groups. (QD)`-
- o Prevalence of hate rhetoric and scapegoating in the discourse of dominant groups. (CA)`-

C. External Destabilization Diminished

Do perpetrators of political violence find sanctuary and support in neighboring states?

- o Presence of perpetrators of political violence from SSTR state/region in neighboring countries. (EK)`-
- o Refusal by neighboring states to extradite indicted members of armed factions. (EK)`-
- o Refusal of neighboring states to take measures to control the common or shared border. (EK)`-

Are other states or non-state actors able to manipulate local political affairs?

- o Domestic political actors received political direction and/or resources from authorities or groups based in other states/regions. (EK)`-
- o Volume of print and broadcast propaganda originating in other states that is disseminated domestically, including the extent and intensity of inflammatory rhetoric. (CA)`-
- o Actions by provocateurs from hostile states. (EK)`-
- o Level of support within Diaspora for the use of violence by warring factions/perpetrators of political violence to achieve political aims. (S/PD, CA)`-
- o Level of support within external affinity groups for the use of violence by warring factions/perpetrators of political violence to achieve political aims. (S/PD, CA)`-

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INSTITUTIONAL PERFORMANCE
(If weak or non-existent, these factors should be strengthened)

A. Peace Process Strengthened

Is there a viable process for addressing continuing violent conflict and ambiguities that the peace process failed to resolve?

- o Dispute resolution mechanisms exist and are being used to clarify or resolve remaining vital issues among parties to the conflict (EK)`+
- o A consultative process exists to incorporate elites/factions that were not original participants in the peace process. (EK)`+
- o Communication between the heads of key international missions and the various faction leaders is active. (EK)`+

Do political leaders/elites accept and support the peace settlement?

- o Percentage of parties to the conflict that have signed a peace settlement. (QD)`+
- o Number and severity of violations of the peace settlement by faction (e.g. ceasefire, cessation of operations, disarmament, and demobilization of troops). (QD, EK) `-
- o Faction leaders renounce use of violence. (CA, EK)`+
- o Faction leaders condemn the use of violence. (CA, EK)`+
- o Faction leaders implement power-sharing arrangements without recourse to violence. (EK)`+
- o Degree of support for the peace settlement in the domestic mass media. (CA)`+

Does the population accept and support the peace settlement and/or process?

- o Implementation of the peace process is meeting popular expectations. (By identity group) (S/PD)`+
- o Marches and public demonstrations that indicate opposition to the peace process. (QD, EK)`-
- o Popular support for the peace process supersedes popular support for narrow interests of parties to the peace process. (By identity group) (EK, CA)`-
- o Influential figures (e.g. clerics, social icons) publicly repudiate acts of violence and other obstructionist behavior. (By identity group) (EK, CA)`+

Is the peace settlement being implemented?

- o Extent to which the provisions of the peace settlement have been implemented. (EK)`+
- o Perception of the general public that the peace settlement is being implemented. (S/PD)`+
- o Perception of the international community that the peace settlement is being implemented. (EK)`+
- o The composition of the security forces reflects the peace settlement. (QD)`+

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Is international engagement adequate to sustain the peace process?

- o Neighboring states are committed to the success of the peace process and the resulting power-sharing arrangement. (EK, CA)`+
- o Regional and major powers provide consistent and even-handed political attention and adequate and timely resource support to the peace process. (EK)`+
- o International entities and NGOs provide adequate resource support to sustain the peace process. (EK)`+

B. Delivery of Essential Government Services Strengthened

Are public expectations for provision of essential public services and utilities being met?

- o Perception of the quality of life following international intervention (By identity group). (S/PD)`+
- o Level of public satisfaction with accessibility essential government services and utilities. (By identity group) (S/PD)`+

Are the various levels of government capable of providing essential services, utilities and functions?

- o Percent of population and percent of territory receiving essential government services and utilities. (By level of government). (QD)`+
- o Number of essential government functions that are being performed by international actors. (QD)`d
- o Distribution of essential public services to identity groups relative to their percentage of the total population.(QD)`d

Does a professional civil service exist?

- o Percentage of government employees with training and education requisite for their positions. (QD)`+
- o Perception of the degree of corruption in the civil service. (By identity group) (S/PD)`d
- o Perception of minority and majority identity groups of the degree of nepotism/cronyism in the civil service. (S/PD)`d

C. Government Legitimacy, Responsiveness and Accountability Strengthened

Does the constitution/governance principles provide for peaceful succession of power and avoidance of monopolization of power?

- o Assessment by international monitoring organizations of the legitimacy and transparency of elections or other government leadership selection processes. (EK)`+
- o Public perception of the legitimacy and transparency of the government leadership selection process. (S/PD)`+
- o Evaluation of elections by independent domestic monitors (EK)`+
- o Executive terms in office are limited by constitution/governance principles. (EK)`+

- o Succession is rule-based. (EK)`+
- o The process for modification of the constitution/governance principles is participatory and inclusive and requires involvement of more than the chief executive. (EK)`+
- o Internal and international oversight mechanisms exist to oversee the succession process. (EK)`+

Is there confidence in state institutions?

- o Perception that the government is responsive to individual needs (By identity group and gender). (S/PD)`+
- o Confidence in the government's ability to improve the situation (By identity group and gender). (S/PD)`+

Is the legislature representative of and responsive to the populace (by identity group)?

- o Perceptions by identity group members that their vital concerns can be addressed and protected by the legislative process. (S/PD)`+
- o In practice, the ruling party or coalition of parties is distinct from the state. (EO)`+
- o Legislators seek to broaden their appeal by forming coalitions that respond to issues that cut across identity groups. (EK, QD)`+

Is the budget process transparent?

- o The budget is published and available to the public. (EK)`+
- o Degree of openness of the budget process to the media and public (EK, S/PD) `+

Is government accountable?

- o Rating of government accountability systems according to international standards and best practices (e.g. the IMF's Code of Best Practices for Fiscal Transparency). (EK)`+
- o Where applicable, judicial review of the actions of the executive and legislative branches is effective and enforced. (EK, QD)`+
- o A domestic ombudsman, oversight body, or independent audit organ is able to investigate and expose government abuses. (EK, QD)`+
- o Perceptions of the public that the actions of political officials are transparent and accountable. (S/PD)`+
- o Misconduct by senior government officials (e.g. head of state, ministerial-level officials, legislators, and/or judges) has been investigated and appropriately punished. (By identity group). (S/PD, QD)`+

Is the legislature able to provide effective oversight of the executive branch?

- o The legislative branch is able to use its legal authorities to expose and counteract abuse of executive powers (e.g. investigations, hearings, revisions to budget submissions, etc.) (EK)`+
- o Degree to which the enacted budget is followed: level of under-funding,

overspending, or non-budgeted spending. (EK)`+

D. Political Parties and Electoral Process Strengthened

Do political entities demonstrate a commitment to a non-violent, responsive, and accountable electoral process?

- o Former warring factions participate in party formation.(CA, EK)`+
- o Perception by party members that parties are responsive to their interests. (S/PD)`+
- o A system of campaign finance regulation exists and is enforced. (EK)`+

Does the public demonstrate a commitment to a non-violent, responsive, and accountable electoral process?

- o Participation in elections (By identity group) (QD)`+
- o Rejection of violence against election sites/administration by the general public. (S/PD)`+

Are party formation, campaigning and conduct in government inclusionary (across identity groups)?

- o Diversity of the political base of major parties. (By identity group) (S/PD, EK)`+
- o Parties form governing coalitions that cross identity group lines. (EK)`+
- o Percentage of independent voters in the electorate. (QD)`+

E. Respect for Minority Rights Strengthened

Do minority groups, identity groups, and disenfranchised populations enjoy guarantees for fundamental civil and political rights?

- o Freedom of religion is effectively protected under law (By identity group and gender). (EK, CA)`+
- o Freedom of assembly is effectively protected under law (By identity group and gender). (EK, SA)`+
- o Freedom of press is effectively protected under law (By identity group and gender). (EK, CA)`+
- o Freedom of speech is effectively protected under law (By identity group and gender). (EK, CA)`+
- o Freedom of association is effectively protected under law (By identity group and gender). (EK, CA)`+
- o Freedom of movement is effectively protected under law (By identity group and gender). (EK, CA)`+
- o Perception that it is possible to exercise political and civil rights freely and without fear of retribution (By identity group and gender). (S/PD)`+
- o Percentage of citizens who feel they could file a human rights complaint without fear of reprisal. (By identity group and gender) (S/PD)`+
- o Percentage of citizens who have confidence that they will obtain a fair hearing. (By identity group and gender) (S/PD)`+
- o Percentage of citizens who have confidence that the government has a commitment to pursuing human rights cases. (S/PD)`+

F. Citizen Participation and Civil Society Strengthened

Is there citizen participation in local government?

o Citizen participation in volunteer positions in local government, including service on unpaid citizen advisory bodies. (S/PD)`+
o Citizen participation in paid positions in local government, including service on unpaid citizen advisory bodies. (S/PD)`+

Do citizen values support an active civil society?

o Citizen values support active citizen participation in the public sphere and are favorable to the growth of civil society. (S/PD)`+

Are citizens informed about government abuse?

o Citizen awareness of their rights, responsibilities, and opportunities to influence the policies and actions of the government (By identity group and gender). (S/PD)`+

Are citizens capable of serving as a check on government abuse?

o Demonstrated capability of civil society organizations to mobilize members to protest against government abuse. (EK)`+
o Resources and know-how of independent civic groups to educate citizens about the democratic process and lobby for democratic reforms. (QD, EK)`+

Is there a diversity of civil society organizations?

o Profile of civil society to include number of organizations and diversity of issues/interests they represent, membership, funding. (EK)`+
o Number of civil society organizations.(QD)`+

Do civil society organizations provide oversight and scrutiny of government actions?

o Number/percentage of reports that civil society activists have been imprisoned without reason, threatened, physically harmed, or killed. (QD, CA)`-
o Number of complaints filed by civil society organizations before anticorruption agencies, number addressed by the agency, and results. (By identity group) (QD)`-
o Government-imposed obstacles to formation of civic groups. (EK)`-

Do organizations exist in civil society that represent minority and marginalized groups and advocate for their interests?

o Size, resources, and level of activity (e.g. demonstrations, petitions, lobbying) of NGOs representing the interests of minority and women's groups. (EK, QD)`+

G. Free and Responsible Media Strengthened

Do the media provide scrutiny of government?

- o Extent of editorial criticism and news unfavorable to the government in power. (CA, EK)`+
- o Number of opposition and nonofficial media outlets and readership. (QD, EK)`+
- o Violence and threats against journalists related to their political coverage. (QD)`-
- o Existence of official censorship. (CA)`-

Do effective restraints exist to curb media incitement of violence?

- o Amount of inflammatory rhetoric in public media. (CA)`-
- o Standards of professional integrity and ethics in journalism exist and are used to address incendiary language or hate speech. (EK)`+

Are external media accessible?

- o Number of foreign periodicals available in the conflicted country, including circulation/readership. (QD)`+
- o Access by foreign journalist to government, security, and public information and persons. (EK)`+
- o Number of external broadcast stations and services accessible in the state/region, including size of viewing/listening audience.(QD)`+
- o Extent of Internet access and connections, including absence of measures by the government to filter access to users in country.(QD)`+

SAFE AND SECURE ENVIRONMENT

STAGE I OBJECTIVE: Armed opposition groups responsible for political violence have largely been defeated, subordinated to legitimate government authority, or disarmed and reintegrated into society. National security forces, increasingly operating lawfully under legitimate government authority, provide a safe and secure environment for citizens, assisted by a sustainable level of involvement by international forces (e.g. combat troops and police).

STAGE II OBJECTIVE: National security forces, operating lawfully under legitimate government authority, maintain a monopoly on the legitimate use of force and provide a safe and secure environment for all citizens, without the operational involvement of international forces.

GOALS:

I. **Diminish Drivers of Conflict**

    A. Political Violence Diminished
    B. Threat from Ex-combatants Diminished
    C. Popular Support for Violent Factions Diminished
    D. Use of National Security Forces for Political Repression Diminished
    E. Criminalization of National Security Forces Diminished
    F. External Destabilization Diminished

II. **Strengthen Institutional Performance**

    A. Compliance with Security Agreements Strengthened
    B. Performance of National Security Forces Strengthened
    C. Subordination and Accountability to Legitimate Government Authority Strengthened
    D. Public Confidence in National Security Forces Strengthened
    E. Consent for Role of International Security Forces Strengthened

DRIVERS OF CONFLICT
(If present, these factors should be diminished)

A. Political Violence Diminished

Do armed opposition groups (e.g. militias, guerrilla forces, insurgents, death squads, private security forces, gangs or terrorists) engage in violence to advance political agendas or to oppose the peace process?

- o Number and frequency of attacks against government forces and officials. (QD)`-
- o Number and frequency of attacks against international forces and non-governmental organizations. (QD)`-
- o Number of casualties (civilian vs. military) resulting from attacks. (QD)`-
- o Number of attacks against infrastructure. (QD)`-
- o Recruitment by armed groups (QD, EK)`-
- o The abduction of children and women into armed factions (QD, EK)`-
- o Percentage of national territory that is controlled by armed factions. (QD)`-
- o Percentage of population not under control of the legitimate government. (QD)`-

Do armed opposition groups engage in illegal trafficking in weapons and military equipment and maintain hidden arms caches?

- o Number of usable arms caches discovered (attributed to identity group). (QD)`d
- o Amount of illegal weapons (heavy weapons, small arms and munitions) and equipment seized by government and international forces. (attributed to identity group) (QD)`d

Has the command and control structure of armed opposition groups been permanently dismantled?

- o Recruitment and training of new combatants. (EK)`-
- o Response of demobilized combatants to orders from a former commander to take up arms (Accept or refuse?). (EK)`-
- o Structures under the control of violent factions continue to be used to intimidate, coerce, and assassinate political rivals. (EK)`-

Is there partisan infiltration of military and intelligence services?

- o Extent to which the defense department/ministry is controlled by partisan political actors. (EK)`-
- o Percent of military and intelligence services that is not loyal to the legitimate government. (EK)`-

B. Threat from Ex-combatants Diminished

Do ex-combatants and members of their support base believe that peace holds more promise than combat?

- o The degree to which ex-combatants (leaders and rank-and-file) and members of their support base believe their personal safety is guaranteed (e.g. against prosecution,

revenge killings, or punishment from former commanders) if they give up arms. (S/PD)`+
- o The degree to which ex-combatants (leaders and rank-and-file) and members of their support base express confidence in peace and/or political processes. (S/PD, CA)`+
- o The degree to which ex-combatants (leaders and rank-and-file) and members of their support base believe the peace and/or political process fairly represents their self interests and the interests of their family. (S/PD)`+

Have former combatants and their support base disarmed, demobilized, and reintegrated into society?

- o Number of heavy weapons placed in cantonment as a percentage of heavy weapons in possession (both government and opposition forces). (QD)`+
- o Ratio of individual weapons and ammunition relinquished to number of demobilizing combatants (both government and opposition forces). (QD)`+
- o Percentage of eligible combatants (both government and opposition forces) registered for DDR (QD)`+
- o Percentage of ex-combatants (both government and opposition forces) who have met demobilization requirements established in the peace settlement. (QD, EK)`+
- o Number and percentage of ex-combatants employed or included in the official security sector. (QD)`d
- o Number and percentage of ex-combatants returned to their original communities or resettled elsewhere. (QD)`+
- o Incidence of involvement of ex-combatants in violent crime. (QD, EK)`-
- o Incidence of attacks or intimidation or discrimination against ex-combatants. (QD) (CA)`-
- o Level of participation in the political process and civil society by ex-combatants (leaders and rank-and-file). (S/PD)`+

C. Popular Support for Violent Factions Diminished

Do armed opposition groups receive support from sympathizers in the population?

- o Percent of military-aged population that expresses an inclination to support or join a violent faction. (By identity group) (QD)`-
- o Intensity of popular support (passive sympathy, devotion, or active support) given to violent factions. (By identity group) (S/PD)`-
- o Degree of collaboration (passive sympathy, devotion, or active support) between various political-social institutions (e.g., tribal associations, religious groups, social welfare networks, educational centers, local media associations, or financial institutions) and violent factions. (S/PD, EK)`d

Is support for violent armed factions coerced?

- o Percentage of the population that feels intimidated resulting from the threats or actions of violent factions. (By identity Group) (S/PD)`-
- o Accusations of treason against individuals within their own identity group for cooperating with opposing identity groups or supporting the peace process. (S/PD)`-

o   Menacing letters, threats of harm, and punishment for cooperating with opposing identity groups or supporting the peace process. (S/PD)`-

Is there popular approval for the use of force against violent armed factions?

o   Percentage of people who approval of the use of force against the violent faction with which they affiliate. (S/PD)`+
o   Incidents of public dissent (e.g. demonstrations, funeral processions, or symbolic marches) in response to the use of force by state security forces and/or the international mission against violent factions. (QD, CA)`-

D. Use of National Security Forces for Political Repression Diminished

Are security forces used to repress political opposition groups?

o   Number of assassinations or attempted assassinations of opposition group members attributed to state security forces. (QD, CA)`-
o   Number of arbitrary arrests and disappearances of opposition group members attributed to state security forces. (QD, CA)`-
o   Incidents of torture attributed to state security forces. (EK, CA)`-
o   Percent of the public who report they or their family members have suffered from abuses or excessive use of force at the hands of state security forces. (S/PD)`-

Are overt state-sponsored or covert state-supported private militias used to attack political opponents?

o   Number of assassinations or attempted assassinations of opposition group members attributed to overt state-sponsored or covert state-supported private militias. (QD, CA)`-
o   Number of arbitrary arrests and disappearances of opposition group members attributed to overt state-sponsored or covert state-supported private militias. (QD, CA)`-
o   Incidents of torture attributed to overt state-sponsored or covert state-supported private militias. (QD)`-

E. Criminalization of National Security Forces Diminished

Is the leadership of the security forces (military and intelligence leaders) linked to organized criminal networks, diversion of official resources, or other illicit activities?

o   Heads of military and intelligence services are known or reported to collaborate with organized crime groups. (EK, CA, S/PD)`-
o   Heads of military and intelligence services profit from illicit exploitation of natural resources. (EK, CA)`-
o   Heads of military and intelligence services control or derive profit from illegal trafficking in commodities or persons. (EK, CA)`-
o   Heads of military and intelligence services control and divert revenue from customs duties. (EK)`-
o   Extent to which personnel rosters are inflated with phantom soldiers. (EK)`-

- o   Extent to which soldiers fail to receive the pay and compensation to which they are entitled. (S/PD, EK)`-

F. External Destabilization Diminished

Does interference by foreign states or transnational actors (e.g., Diasporas, political movements, trans-border communications media, illicit commercial enterprises, private security forces, terrorist networks) fuel conflict or undermine peace efforts?

- o   Number of foreign fighters killed or captured. (by affiliation) (QD, EK)`d
- o   Number (type and impact) of armed incursions by neighboring states. (QD, EK)`-
- o   Number (type and impact) of armed incursions by non-state actors from neighboring states. (QD, EK)`-
- o   Flow of funding from foreign states or transnational actors to violent factions. (EK)`-
- o   Flow of weapons from foreign states or transnational actors to violent factions. (EK)`-
- o   Evidence of organizational linkages between Diaspora or affinity groups and warring factions. (EK)`-

Do armed opposition groups exploit cross-border sanctuaries as a base for operations, source of recruitment, or location for weapons caches?

- o   Number (type and impact) of armed incursions by non-state actors from neighboring states. (QD, EK)`-
- o   Number of insurgents based in neighboring states. (EK)`-
- o   Refugee camps in neighboring states exploited as sanctuaries and recruitment grounds. (EK)`-
- o   Number of arms smugglers interdicted at border. (QD)`d

Do linkages exist between armed groups and transnational criminal networks?

- o   Involvement of transnational criminal networks in operational activities of armed opposition groups. (EK)`-
- o   Flow of arms from transnational criminal networks to armed opposition groups. (By recipient and form of payment) (EK)`-

INSTITUTIONAL PERFORMANCE
(If weak or non-existent, these factors should be strengthened)

A. Compliance with Security Agreements Strengthened

Are cases of non-compliance with cooperative security agreements resolved?

- Number of cases of compliance versus non-compliance. (Itemize each cooperative security arrangement, associated timelines, and degree of compliance with each.) (EK)`+
- Percent of non-compliance cases investigated and resolved. (By former armed faction) (QD, EK)`+

B. Performance of National Security Forces Strengthened

Do the security forces maintain control over national territory?

- Percentage of national territory that is not under control of the legitimate government. (QD)`-
- Number of checkpoints or roadblocks set up by armed opposition groups. (QD)`-
- Percent of national territory controlled by external forces. (QD)`-

Is there a safe and secure environment?

- Safe and sustainable resettlement in mixed identity group neighborhoods. (EK)`+
- Use of public/private institutions, such as schools, banks, markets. (EK, QD)`+
- Number of publicly-held community-based celebrations. (EK)`+
- Amount spent by businesses on private security. (EK, QD)`-
- Percentage of residents who feel more secure today than they did six months before. (By province and identity group) (S/PD)`+
- Percentage of residents who believe that they will be more secure in the months ahead than they are today. (By province and identity group) (S/PD)`+

Do citizens have freedom of movement throughout national territory regardless of their identity group?

- Degree to which members of formerly warring factions and competing identity groups can travel freely in areas controlled by their rivals. (EK)`+
- Percentage of the population that feels they can travel safely within the country (By identity group). (S/PD)`+
- Cost and amount of time required to negotiate check points (S/PD, EK)`-

Are the roles and missions of security forces appropriate to the officially stated security threat?

- A division of labor exists between the police and military services, with the former performing public safety roles and the latter involved in national security missions. (EK)`+
- A national security strategy and/or threat assessment exists. (EK)`+

- o The force structure matches the national security strategy and officially stated threat assessment. (EK)`+
- o Training and operating procedures are designed to meet officially stated current and anticipated security threats. (EK)`+

Are the intelligence services effective?

- o Laws/rules/principles are codified to regulate intelligence services exist. (EK)`+
- o Extent to which threats to internal and external security have been prevented or disrupted because of intelligence-led operations. (EK)`+
- o Extent to which prosecution and conviction for crimes relating to threats to internal or external security have been supported by intelligence services. (EK)`+
- o Availability of actionable intelligence and other information regarding the illicit transit of goods and services across the borders. (EK)`+

Are border-control and customs services effective?

- o Extent to which national borders - land, sea, and air - are under domestic border-control surveillance. (EK, QD)`+
- o Extent of bribery of border officials to secure transit of illicit goods through Ports of Entry. (S/PD, EK)`-
- o Amount of revenue collected by customs officials. (QD)`d
- o Percentage of arrests for illicit border activity leading to convictions. (QD)`+
- o Level of cooperation with neighboring states regarding illicit border crossings. (EK)`+

C. Subordination and Accountability to Legitimate Civilian Authority Strengthened

Are security forces subordinate to legitimate civilian government authority?

- o The roles and missions of military and intelligence services are clearly defined and are observed. (EK)`+
- o Degree to which the military officer and NCO corps regard use of the military for partisan political purposes as strictly forbidden. (S/PD, EK)`+
- o Degree to which the military officer and NCO corps accept that they do not have the legal right to overthrow civilian leadership. (S/PD, EK)`+
- o Protections against violations of privacy (e.g. unlawful surveillance and wiretaps) exist in law and are enforced by the courts. (EK)`+
- o Civilian structures and procedures exist and are used to direct and control the military and intelligence services effectively (e.g. Command and control structures, internal control processes, periodic inspections and audits, etc.). (EK)`+
- o Any security force official can be held accountable for serious misconduct either by a military tribunal or a civilian judicial process. (EK)`+
- o The extent of legislative authority over the military and intelligence services (may include approving budgets, access to off-budget program expenditures, power to investigate misconduct by members of the military and intelligence services, and approval of senior appointments). (EK)`+

Do military and intelligence services respect human rights?

- o Members of military and intelligence services are aware of domestic and international codes of conduct and standards regarding human, political, and civil rights. (S/PD, EK)`+
- o Members of military and intelligence services accept, and respect domestic and international codes of conduct and standards regarding human, political, and civil rights. (S/PD, EK)`+
- o Violations of standards regarding human, political, and civil rights are investigated, adjudicated, and sanctioned. (EK, QD)`+
- o Citizens perceive the military and intelligence services respect human rights. (S/PD)`+
- o Regional and international oversight mechanisms (e.g. Regional human rights courts, UN special rapporteurs) function, and their recommendations are acted upon. (EK)`+
- o Members of military and intelligence services convicted of abuses are dismissed from duty. (EK, QD)`+
- o Number of armed forces and intelligence services personnel tried and convicted of human rights abuses. (EK, QD, CA)`d

Does the government exercise effective control over private security companies (PSCs), including private guard services and personal protection agencies?

- o PSCs are licensed and registered. (EK)`+
- o Unlicensed PSCs are disbanded. (EK)`+
- o Regulations governing PSCs' possession of firearms and use of force are enforced. (EK)`d
- o Number of incidents of extortion, intimidation, assault, and murder committed by PSC members. (CA, QD)
- o Number of PSCs having members convicted for extortion, intimidation, assault, and murder. (CA, QD)`d

Do internal oversight mechanisms exist for monitoring, investigating and prosecuting misconduct, including human rights abuses and war crimes, by military forces and are they effectively used?

- o An Inspector General (IG) (or similar system) conducts inspections, and its findings are acted upon by the chain of command. (EK)`+
- o A military justice system holds officers and NCOs accountable and punishes them for misconduct. (EK, QD)`+
- o The IG or similar process includes effective safeguards against undue command influence. (EK)`+

Is civil society able to redress human rights abuses by the military and intelligence services?

- o Individuals and groups adversely affected by the conduct of military and intelligence services are able to seek and obtain redress through domestic institutions. (EK, S/PD)`+

- o   Opposition politicians and civil society organizations are able to assemble and express concerns about misconduct by military and intelligence services and press for investigation and reform without interference. (EK)`+
- o   The media engages in investigative reporting about misconduct of the military and intelligence services without fear of reprisal. (CA, EK)`+

D. Public Confidence in National Security Forces Strengthened

Are citizens confident that the military and intelligence services are impartial?

- o   Perception that the military and intelligence services are used for partisan political purposes (S/PD)`-

Are citizens confident in the national security forces?

- o   Perception by public that they are/will be protected by national security forces (by identity group). (S/PD)`+
- o   Perception that national security forces function in the best interest of the people (by identity group). (S/PD)`+

E. Consent for International Forces Strengthened

Are international security forces perceived as contributing to the establishment of a safe and secure environment?

- o   Perception that the presence of international security forces is vital for one's personal security. (By identity group) (S/PD)`d
- o   Perception that international security forces are contributing an improved security situation (by identity group). (S/PD)`+
- o   Degree to which international security forces are seen as neutral (By identity group) (S/PD)`+

Are citizens confident in the National Security Forces?

- o   Perception that the public are/will be protected by the National Security Forces (By identity group) (S/PD)`+
- o   Perception that the National Security Forces function in the best interests of the people (By identity group) (S/PD)`+

RULE OF LAW[5]

STAGE I OBJECTIVE: Impunity, injustice, and criminalization of state institutions are diminished to the point that the justice system, supported by a sustainable level of essential international involvement, provides an accepted process for resolving disputes peacefully by maintaining public order and safety, bringing perpetrators of major crimes to justice, holding governing authorities accountable through an independent judiciary, protecting fundamental human rights, and applying the law equally, in increasing compliance with international norms and standards.[6]

STAGE II OBJECTIVE: The domestic justice system, without international involvement, provides a well functioning and accepted process for resolving disputes peacefully by maintaining public order and safety, bringing perpetrators of crimes to justice, holding governing authorities accountable through an independent judiciary, protecting fundamental human rights, applying the law equally and efficiently, and providing equal access to justice, in compliance with international norms and standards.[7]

GOALS:

I. Diminish the Drivers of Conflict

      A. Injustice Diminished
      B. Impunity Diminished
      C. Criminalization of State Institutions Diminished

II. Strengthen Institutional Performance

      A. Public Order and Safety Strengthened
      B. Administration of Justice Strengthened
      C. Judicial Independence and Government Accountability Strengthened
      D. Respect for Human Rights Strengthened
      E. Equality Before the Law Strengthened
      F. Societal Support for Rule of Law Strengthened

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[5] The development of these measures for the rule of law was immensely enhanced by the expert professional scrutiny of David Bayley, Alex Berg, Scott Carlson, David Edelstein, Deborah Isser, Richard Mayer, Laurel Miller, Margaret Prothig, Alex Their, James Walsh, and Ed Zedlewski.

[6] As defined in the Model Criminal Codes developed by USIP.

[7] Ibid.

DRIVERS OF CONFLICT

(If present, these factors should be diminished)

A. Injustice Diminished

Is the legal system used as an instrument of repression?

- Percent of citizens who fear law enforcement agencies as instruments of repression or that they will be treated unfairly if arrested. (By province and identity group) (S/PD)`-
- Detainees/prisoners are subjected to torture, cruel, or inhuman treatment, beatings or psychological pressures (By identity group). (EK, S/PD, QD)`-
- Percentage of known prison population detained beyond the period specified in the law who have not had their case reviewed by an appropriate authority (By identity group). (QD)`-

Is there discrimination in the treatment of disempowered or opposition groups throughout the legal process (by identity group)?

- Percentage of prison population (by identity group) relative to their proportion of the overall population. (QD)`d

Are traditional/non-state justice systems used as an instrument of repression or discrimination?

- Traditional or other non-state justice systems give preference to specific identity groups. (EK)`-
- Traditional or other non-state justice systems have been co-opted or distorted resulting in discriminatory treatment of specific identity groups. (EK) `-

B. Impunity Diminished

Can political elites be held accountable for crimes they commit?

- Ability or willingness of the legal system to investigate, prosecute, and convict perpetrators of politically destabilizing crimes, inter-group murder, use of political violence against rivals, and terrorism when political leaders/elites are suspected of involvement in these crimes. (EK)`+
- Perceptions of law enforcement officials and victims of politically destabilizing crimes, inter-group murder, use of political violence against rivals, and terrorism that suspects involved in these crimes are untouchable and that cases are abandoned for this reason. (S/PD, CA)`-
- Ratio of incidence of politically destabilizing crimes to investigations, prosecutions, and convictions for these crimes. (QD)`+

Is justice obstructed in cases of crimes conducted by political elites?

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- Percent of legal cases where witnesses recant testimony under duress/due to coercion. (QD)`-
- Number of witnesses, police, judges, prosecutors, defense attorneys and their family members who suffer assaults or assassination. (QD)`-
- Percent of judges with personal security details, or who have taken other security precautions. (S/PD, EK, QD)`-

C. Criminalization of State Institutions Diminished

Do parallel or informal governing structures sustained by illicit revenue exist within formal government institutions?

- Political leaders/ruling elites are involved in or linked to criminal looting of natural resources, drug trade, human trafficking, money laundering, and smuggling of arms or contraband. (EK)`-
- Public perception that organized crime has a substantial influence on the development of national policies, operation of ministries, and allocation of resources. (S/PD)`-
- Known criminals or individuals linked to crime syndicates occupy key government positions. (EK)`-
- Extent to which government expenditures are hidden or are unaccounted for. (EK)`-
- Militias/paramilitary groups allied with the government operate with government-issue equipment and/or funding. (EK)`d

(If weak or non-existent, these factors must be strengthened)

A. Public Order and Safety Strengthened

Do national and local law enforcement agencies enforce the law and maintain public order (by province or equivalent locality)?

- o Safe and sustainable return of displaced persons and refugees to former neighborhoods. (S/PD)`+
- o Use of public/private institutions, such as schools, banks, etc. for their intended purposes. (EK)`+
- o Level of market activity. (QD, EK, S/PD)`+
- o Amount spent by businesses on private security. (QD, S/PD, CA)`-
- o Percent of population that has been the victim of violent crime in the past month/year (S/PD)`-

Are law enforcement agencies held accountable (by province or equivalent locality)?

- o Complaints of serious misconduct such as excessive use of force by law enforcement agencies are properly investigated and prosecuted or pursued through administrative procedures. (EK, QD)`-
- o Public complaints are registered and investigated and sanctions are imposed by an independent agency with subpoena power. (QD, EK)`+
- o Codes of conduct emphasizing adherence to law and to international standards of human rights are enforced by the courts and/or by supervisors in law enforcement agencies. (EK, CA)`+

Does the public have confidence in law enforcement agencies?

- o Citizens' confidence and trust in impartial law enforcement agencies. (S/PD) `+
- o Victims report crimes to the police and are satisfied with the response. (S/PD)`+
- o Parents teach their children that when they need help they should seek out the police. (S/PD)`+

B. Administration of Justice Strengthened

Does the legal system (formal and informal) provide a non-violent mechanism for the resolution of disputes (by identity group)?

- o Percent of citizens who say that they have access to and are willing to use court systems to resolve criminal disputes. (By identity group) (S/PD)`+
- o Percent of population who perceive they have been treated fairly by the legal system in the past and/or expect to be treated fairly in the future. (By province and identity group) (S/PD)`+
- o Extent to which citizens resort to the use of the legal system to settle inter-group conflicts. (QD, S/PD)`+

Does the criminal justice system perform essential functions effectively?

Criminal Laws and Procedures
- o Criminal laws and criminal procedures address contemporary criminal activity and provide effective means of law enforcement for terrorist financing, trafficking, transnational and organized crime, extradition, mutual legal assistance, cyber crime, etc. (EK)`+

Entry into the system
- o Average time after detention until formal charges are brought (QD)`-
- o Percent of those arrested, detained, or charged with a crime who have access to legal representation. (QD, S/PD)`+
- o Percent of pre-trial detention facilities operating in compliance with international human rights standards (EK)`+

Prosecution and pre-trial services
- o Average time from entry into system on serious crimes charges until seeing a lawyer. (QD)`-
- o Number of convictions for serious crimes as a percent of indictments for serious crimes per province (QD)`d

Adjudication
- o Average time between filing of formal charges and trial (QD)`-
- o Percent of those accused of serious crimes not represented at trial (QD)`-

Sentencing and sanctions
- o Sentences in criminal cases comply with international standards for proportionality. (EK)`+
- o Prison terms and fines are enforced. (EK)`+

Incarceration
- o The penal system is able to enforce sentences on political leaders/elites and the most dangerous criminals. (EK)`+
- o Percent of prison population beyond stated capacity of prison system (QD)`-

Appeals
- o There is a fair and authentic appeals process. (QD, EK)`+

Does the civil justice system (where there is a separate civil justice system) perform essential functions effectively?

Civil Laws and Procedures
- o Civil laws and procedures address contemporary civil needs for adjudication, enforcement and recordkeeping. (EK)`+

Entry into the system

- Percent of those involved in a civil case who have access to legal representation. (QD, S/PD)`+
- Percent of citizens who say that they have access to court systems to resolve civil disputes. (S/PD)`+
- Percent of citizens who are aware of what forms of recourse are available to them to resolve a dispute. (S/PD)`+

<u>Adjudication</u>
- Average time between filing of claim and adjudication. (QD)`-
- Percent of claims that remain un-adjudicated. (QD)`-

<u>Enforcement of Judgments and Orders</u>
- Per cent of judgments enforced relative to the number awarded. (QD)`+

<u>Appeals</u>
- There is a fair and authentic appeals process. (EK, S/PD)`+

Are property disputes resolved and contracts enforced?

- Percent of property dispute claims adjudicated relative to claims registered (By identity group and province) (QD)`+
- Perception of parties involved with property disputes that the process was fair and the case resolved satisfactorily (By identity group and province). (S/PD)`+
- Percent of property dispute claims resolved relative to claims registered. (By identity group) (QD)`+
- Property settlements and contracts are enforced. (QD)`+

How complementary are formal and traditional/non-state justice systems?

- Inconsistencies in substance or process between traditional/non-state justice systems and the formal legal system that lead to tension and confusion (Negative indicator). (EK)`-
- Inconsistencies between traditional/non-state justice systems and international human rights standards. (EK)`-
- Boundaries between formal and informal dispute resolution mechanisms are clear and uncontested. (EK, CA)`+
- Restoration of traditional/non-state justice systems that contributed to the peaceful resolution of disputes that may have been deliberately weakened or eliminated during the conflict. (EK)`+

Are judges, prosecutors, lawyers, and penal system employees held accountable?

- Perceptions of the public about the integrity of judges, prosecutors, lawyers, and penal system employees. (S/PD)`+
- Percentage of complaints against judges, prosecutors, lawyers, and penal system employees that result in disciplinary action (QD)`+
- Percent of those involved in legal proceedings who report paying bribes to judges. (S/PD)`-

C. Judicial Independence and Government Accountability Strengthened

Is the judiciary independent?

- o The selection and promotion of judges is based on objective, merit-based criteria or elections as opposed to identity group membership, political affiliation, or patronage. (EK)`+
- o Removal of judges is limited to specified conditions such as gross misconduct. (EK)`+
- o Judicial expenditures are not controlled by the executive. (EK)`+

Are governing authorities held accountable?

- o Government officials have been tried and convicted of abuse of authority (QD, EK)`+
- o In cases where the State is one of the litigants, outcomes are not automatically in the State's favor. (QD, EK)`+

D. Human Rights Strengthened

Do civilian government authorities respect human rights?

- o Number of political prisoners. (EK, QD)`-
- o Percent of prisons and detention centers operating in compliance with international human rights standards. (EK)`+
- o Frequency with which lawyers suffer retribution on account of representing controversial clients. (EK)`-

Are human rights codified by the government?

- o Laws conform to international human rights standards (see Serious Crimes Handbook, Chp.3, and Model Codes. (EK)`+
- o Human rights are effectively protected under law. (EK, CA)`+

Are measures to protect human rights (e.g. human rights commission, human rights court, or ombudsman) effective?

- o Percent of people who feel they could file a human rights complaint without fear of reprisal (by identity group). (S/PD)`+
- o Percent of people who have confidence that they will obtain a fair hearing (by identity group). (S/PD)`+
- o Percent of people who perceive that the government is committed to pursuing human rights cases (by identity group). (S/PD)`+
- o Percent of human rights cases that result in remedies (by identity group). (QD)`+

E. Equality before the Law Strengthened

Is the law applied equally?

o Percent of victims who reported crimes to law enforcement authorities and were satisfied with the response (By identity group) (S/PD)`+
o Perception of the population that the judicial system and law enforcement agencies apply the law equally to all identity groups. (S/PD, CA)`+
o Assessments of the fairness of the judicial system. (EK)`+
o The staffing of the judiciary, law enforcement agencies, and penal system is reflective of the demographic composition of the broader society (QD, S/PD)`+

Is there access to justice?

o Right to legal counsel is recognized by law. (EK)`+
o Laws, codes or other normative acts set forth a standard timeframe by which persons detained shall be given access to a lawyer. (EK)`+
o Individuals are regularly informed of their right to counsel at the time of arrest or detention. (EK)`+
o Extent of availability of legal aid or public defense. (EK)`+
o Percent of population less than half-a-day removed from nearest court house or police post (QD)`+
o Number of interpreters per 100,000 minority language population (QD)`+
o Percent of court cases dropped due to inability of victim to pay (QD, S/PD)`-

F. Societal Support for Rule of Law Strengthened

Are social attitudes and norms supportive of peaceful resolution of disputes (by identity group)?

o Extent of voluntary compliance with the law (S/PD)`+
o Percent of the population who would consult with a formal legal advisor and use the formal court system if they have a dispute (S/PD)`+
o Knowledge of population about their legal and civil rights and the legal process, including how to access the legal system (S/PD) `+
o Belief that justice is administered fairly by members of other identity groups (By identity group) (S/PD)`+
o Efforts to arrest identity group leaders who commit serious crimes are violently resisted by their identity group. (EK)`+

How professional is the legal profession?

o Laws and normative acts establish the independence of the profession and sets forth professional standards and ethics that are binding. (EK)`+
o Cases have been successfully brought to court involving claims that the independence of lawyers has been violated through interference or intimidation by state authorities or non-state actors. (EK)`+
o There is a process of accreditation to enter the legal profession and for sanctioning misconduct. (EK)`+

- o Number of practicing lawyers and other legal advisors (such as notaries) per capita (By identity group). (QD)`+
- o Continuing legal education programs and practical training/apprenticeships are available to the legal profession. (By identity group). (QD)`+
- o Presence and strength of professional associations for members of the legal profession (EK)`+

SUSTAINABLE ECONOMY

STAGE I OBJECTIVE: Illicit wealth does not determine who governs, conflict no longer pays, and inequality between groups in conflict is diminishing. An enabling environment for a market-based economy is being established, employment is being generated, and revenues for provision of essential public services are being collected and protected. International involvement and oversight that may be needed to foster an enabling environment can be maintained until economic sustainability is attained.

STAGE II OBJECTIVE: An enabling environment for a market-based economy is established and is capable of preventing capture by predatory power structures. The formal economy is growing, generating increasing employment relative to the informal economy, and revenues sufficient for provision of essential state services are being collected and protected. Economic performance meets qualifications for integration into international economic regimes.

GOALS:

I. **Diminish the Drivers of Conflict**
   (*If present, these factors must be diminished*)

   A. Political Impact of Illicit Wealth Diminished
   B. Economic Incentives for Conflict Diminished
   C. Economic Inequality between Groups in Conflict Diminished
   D. Effects of Economic Decline Diminished
   E. External Drivers of Conflict Diminished

II. **Strengthen Institutional Performance**
    (*If weak or non-existent, these factors must be strengthened*)

   A. Infrastructure Strengthened
   B. Fiscal Integrity Strengthened
   C. Regulatory and Corporate Governance Framework Strengthened
   D. Financial Institutions Strengthened
   E. Employment Strengthened
   F. Private Sector Strengthened
   G. Management of Natural Resources Strengthened
   H. Economic Performance and Self Reliance Strengthened

DRIVERS OF CONFLICT
(If present, these factors must be diminished)

A. Political Impact of Illicit Wealth Diminished

What is the magnitude of economic activity taking place in illicit markets?

o Estimated percentage of GDP accounted for by illicit economic transactions. (EK)`-
o Estimated amount of revenue generated by looting of natural resources. (EK)`-
o Gap between prices for a market basket of essential goods and services in open vs. gray markets. (S/PD, EK, QD)`-

Are public offices corrupt?

o Ranking on international indices of corruption. (EK, QD)`d
o Existence of incentive structures that reward smuggling, rent-seeking, looting of natural resources, or other forms of large-scale criminal activity/corruption. (EK)`-
o Perception of the degree of corruption and abuse of office by government leaders. (By identity group) (S/PD)`-
o Degree to which local and international companies alter their investment plans due to the prevalence of corruption. (S/PD)`-
o Percent of citizens reporting that a gift or informal payment is required to obtain a government service (S/PD)`-
o Percent of citizens reporting that a gift or informal payment is required to obtain a government job (S/PD)`-
o Percent of citizens reporting that a gift or informal payment is required to avoid arrest or a fine by police or to pass through a police checkpoint. (S/PD) `-
o Percent of businesses reporting that a 'gift' or informal payment was required to obtain a construction permit (S/PD)`-
o Percent of businesses reporting that a 'gift' or informal payment was required to obtain an import license (S/PD)`-
o Percent of businesses reporting that a 'gift' or informal payment was required to obtain an operating license (S/PD`-)
o Public perception of the extent corruption in public offices. (S/PD)`d

Are there links between government officials and criminal syndicates?

o Known criminals or individuals linked to crime syndicates occupy key government positions. (EK)`-
o Number of senior government officials implicated by foreign governments or international law enforcement bodies (e.g. Interpol) in transnational criminal activity (QD)`-

Do warring or armed opposition groups generate illicit revenue?

o Armed opposition groups maintain spheres of influence where they exercise de facto authority to collect taxes or exploit criminalized economic activity, etc. (EK)`-

o Estimated amount of revenue generated by opposition groups by looting of natural resources, drug production, collection of taxes, smuggling networks, trafficking in cultural/historical artifacts, etc. (EK)`-

B. Economic Incentives for Conflict Diminished

Are there economic incentives to continue conflict?

o Government officials profit from arms trafficking. (EK)`-
o Faction leaders and government officials profit from the control of trade in commercial goods made illicit by international sanctions. (CA, EK)`-
o Amount of relief supplies expropriated by armed opposition groups. (QD)`-

C. Economic Inequality between Groups in Conflict Diminished

Is there group-based inequality (by identity group)?

o Per capita income of politically disadvantaged identity groups relative to the national average. (QD)`+
o Literacy rates of politically disadvantaged identity groups relative to the national average. (QD)`+
o Unemployment rates of politically disadvantaged identity groups relative to the national average. (QD)`-

Is group-based inequality a source of conflict?

o Perception of relative economic deprivation relative to other identity groups (by identity group). (S/PD)`-
o Number of land occupations (by identity group). (QD)`-
o Number of violent confrontations and extra-judicial killings over land, water, or grazing rights (by identity group). (CA, QD)`-
o Prevalence of the use of private security forces to protect land/resources (by identity group) (CA)`-

Do those sharing a group identity with ruling elites derive a disproportionate benefit from the resources that are extracted from society?

o Allocation of jobs in the public sector relative to proportion in the general population (by identity group). (QD)`+
o Distribution of government expenditures (by province and identity group). (QD)`d
o Distribution of government subsidized food (by identity group) (QD)`d
o Extent of any disparity in the cost (e.g. fees, taxes, charges) of public goods and services. (By identity group) (QD) `-

D. Effects of Economic Decline Diminished

Is the population suffering from the effects of a sharp economic decline?

- o Infant mortality rates. (QD)`-
- o Number of cases of malnourishment and exposure. (QD)`-
- o Incidence of looting for staple products. (CA)`-

Is there "Brain Drain" (by identity group)?

- o Professionals, technical experts, intellectuals, and entrepreneurs leaving the country. (EK, QD)`-
- o Applications for visas by professionals, technical experts, intellectuals, and entrepreneurs including applications for visas in categories that allow for work or permanent residence. (QD)`-

E. External Drivers of Conflict Diminished

What is the extent of funding for armed opposition groups from Diaspora populations and affinity groups?

- o Evidence that support (funding, arms) is provided clandestinely by Diaspora or affinity groups to warring factions. (EK)`-

Do foreign governments support warring factions financially or materially?

- o Dollar value of arms transferred to the target country by foreign governments. (By recipient) (EK)`-
- o Amount of financial or in-kind support provided by foreign governments for armed opposition groups. (EK)`-

What is the degree of looting of natural resources by external actors?

- o Control of territory containing natural resources by forces belonging to or supported by foreign governments. (QD, EK)`-
- o Value of natural resources purchased and marketed by multinational corporations without payment of customs duties. (EK)`-
- o Decline in the annual amount of the value of natural resources exported and concurrent increase in the value of the natural resource exported by neighboring countries. (EK)`-

A. Infrastructure Strengthened

What is the level of availability of electrical power?

- o Level of public satisfaction with electrical power delivery. (By identity group and region) (S/PD)`+
- o Gross electrical power output compared to pre-conflict levels. (QD)`+
- o Extent of reliance on non-network, site-specific electrical power generation units. (By identity group and region) (EK, S/PD)`d
- o Prevalence, duration, and extent of brownouts and cutbacks in electrical power. (By identity group and region) (QD)`-
- o Percentage of electricity generated from external sources (QD)`-

What is the level of availability of essential services?

- o Percent of essential services (e.g. water, sewage, telephone, trash removal, public transportation) functioning compared with pre-conflict levels. (By identity group and region) (QD)`+
- o Distribution of essential services to identity groups relative to their percentage of the total population. (QD)`d
- o Level of public satisfaction with essential service delivery (By identity group and region) (S/PD)`+
- o Prevalence, duration, and extent of interruptions in delivery of essential services. (By identity group and region) (QD)`-

B. Fiscal Integrity Strengthened

How effective are independent oversight systems to ensure the integrity of state revenues and expenditures and to prevent diversion by predatory power structures?

- o A means for the conduct of regular independent audits of state fiscal operations exists. (EK)`+
- o Percentage of state-entity budgets/fiscal operations audited. (QD)`+
- o Percentage of questionable financial practices investigated, prosecuted, and punished. (QD)`+

What is the integrity of expenditure?

- o Size of fiscal deficit in relation to Gross Domestic Product (GDP). (QD)`-
- o Delays in payments of salaries to government employees (By job type and identity group of employee). (QD)`-

What is the capacity for government revenue generation?

- o Capacity for government revenue generation. (QD, EK)`+

What is the integrity of government revenue generation?

- o Integrity of government revenue generation, by department and/or function. (EK)`+
- o Integrity of government expenditure, by department and/or function. (EK)`+

C. Regulatory and Corporate Governance Strengthened

How effectively regulated are commercial and financial transactions?

- o Strength of regulatory infrastructure regarding corporate investment, trade, hiring and procuring and exploitation of the environment. (EK)`+
- o Evaluation of state enforcement of commercial and financial regulations. (EK)`+

Do regulatory and corporate governance systems effectively constrain black market activities from adversely affecting the economy?

- o Investigation, prosecution, and conviction of black marketers. (QD)`+
- o Amount of illicit drug revenues and other transnational criminal transactions as a percentage of the GDP. (QD)`-

How effective are controls on money-laundering and suspicious financial-transactions?

- o Strength of legal and administrative systems for monitoring and adjudicating cases of money laundering and suspicious financial transactions. (EK)`+
- o Number of cases of money-laundering and suspicious financial transactions investigated and number of convictions. (QD)`+
- o Amount of assets seized as a result of enforcement of suspicious financial transaction laws. (QD)`+

Is privatization of publicly owned businesses conducted transparently and with safeguards to deter their capture by predatory power structures?

- o Presence of a transparency mechanism that includes, for example, public posting of offers of public property, bids and tenders for the purchase of such property, identity of purchasers, financing of sales, and any modifications to legal language regarding the subsequent use of property required (e.g. right of resale, restrictions on the use of assets). (EK)`+
- o Percent of privatization sales/transfers compliant with a transparency regime. (QD)`+
- o Public disclosure of transfers that includes book and market value of assets transferred and identity of individuals and groups acquiring assets, and percentage of privatized firms whose equity is publicly traded and whose operations are officially reported. (EK)`+
- o Availability of public property that is transferred by means of equity shares priced to allow widespread ownership of the privatized firm. (QD)`+

Do systems of enterprise governance provide effective public scrutiny and accountability of publicly owned companies?

- o Scope of state regulation of internal enterprise governance. (EK)`+
- o Scope of state enforcement mechanisms of internal enterprise governance. (EK)`+
- o Scope of reporting of financial status and operations. (EK)`+
- o Compliance with the enterprise governance regime. (EK)`+

D. Financial Institutions Strengthened

Are financial institutions independent of external subsidies and debt service arrangements?

- o Amount of external debt relief. (QD)`-
- o Amount of external financial subsidies. (QD)`-

How strong are domestic public and private financial institutions

- o Monetization of the economy. (EK)`+
- o Use of the national currency. (EK)`+
- o Stability of the exchange rate of the national currency. (QD)`+
- o Strength of the Central Bank or like mechanism. (EK)`+

E. Employment Strengthened

What is the level of employment and underemployment of groups associated with conflict (i.e., ex-combatants, military-aged youth, and disenfranchised groups)?

- o Unemployment rates (By identity group and among ex-combatants and military-aged youth). (QD)`-
- o Underemployment rates (By identity group and among ex-combatants and military-aged youth). (QD)`-
- o Perception of the availability and desirability of jobs in the formal vs. informal sectors (By identity group and among ex-combatants and military-aged youth). (S/PD)`+
- o Perception of the availability and desirability of jobs in the licit vs. illicit sectors. (By identity group and among ex-combatants and military-aged youth) (S/PD) `+

What are national employment and underemployment trends?

- o Rate of growth in employment in the formal sector. (QD)`+
- o Number employed in the informal sector. (QD)`-
- o Survey of job prospects by sector. (S/PD)`+
- o Rate of underemployment. (EK)`-

What is the caliber of the work force?

- o Perception of business owners and entrepreneurs of the match between laborers' skills and their employment needs. (By identity group) (By sector) (S/PD)`+

F. Private Sector Strengthened

Is the private sector growing?

- o Number of businesses registered. (QD)`+
- o Amount of business activity reported (e.g. annual reports). (QD)`+

Do the laws and societal attitudes help enable market activity?

- o Perception by domestic and foreign businesses that the laws favor free and open markets. (S/PD)`+
- o Entrepreneurial attitudes and understanding of free-market principles by businesspersons, government officials, and the general public. (S/PD)`+

Is there access to credit ?

- o Capital loaned to consumers. (QD)`+
- o Capital loaned to micro-lending. (QD)`+
- o Capital loaned to small businesses. (QD)`+
- o Capital loaned to large private firms. (QD)`+
- o Capital loaned to government enterprises. (QD)`+
- o Amount of lending by domestic banks to domestic businesses (as % of GDP). (QD)`+

Is there access to external markets?

- o Foreign Direct Investment (FDI) (as % of GDP). (QD)`+
- o Foreign capital (other than FDI) (as % of GDP). (QD)`+
- o Exports subject to high tariffs, quotas and non-tariff restrictions. (QD)`-

G. Management of Natural Resources Strengthened

Is there sustainable and effective management of natural resources?

- o Amount of government revenue generated from primary commodity exports. (QD)`-
- o Degree of compliance with any international regimes for certification of natural resource commodity origins to restrict entry of "looted" resources into trade. (EK)`+
- o Percent of mines, forests, wells, etc. brought under transparent government regulation. (QD)`+
- o Level of investment (public and private sector) in renewable natural resources. (QD)`+
- o Compliance with arrangements for the management of renewable and nonrenewable natural resources. (EK)`+
- o Public perception that locals' interests are accounted for in natural resource management decisions. (S/PD)`+

H. Economic Performance and Self Reliance Strengthened

What is overall economic performance?

- o Per capita income adjusted for inflation. (QD)`+
- o GDP growth rate adjusted for inflation. (QD)`+
- o Per capita national debt. (QD)`-
- o Savings and investments as a percentage of the GDP. (QD)`+
- o Rate of unemployment and underemployment. (National and provincial) (QD)`-
- o Trend in business bankruptcy. (QD)`-
- o Income distribution (e.g. as measured by the Gini Coefficient) (National and provincial) (QD)`+
- o Poverty levels. (National and provincial) (QD)`-
- o Inflation rate. (QD)`-
- o Public perception of the health of the economy. (National and provincial) (S/PD)`+
- o Level of informal economic activity. (EK, QD)`d

Is the government financially self-reliant?

- o Percent of government expenditures funded by external sources. (QD)`-
- o Ratio of public borrowing and debt to government income. (QD)`-
- o Debt and debt service costs relative to GNP. (QD)`-
- o "Graduation" (vs. relief) from special debt servicing arrangements (e.g. Paris Club). (EK)`+
- o Debt Rating. (QD)`+

How diverse is the economy (i.e. reliance on other than primary commodities)?

- o Primary commodity production/income as a percent of GDP. (QD)`-
- o Running profile of national production by sector (agriculture, mining, manufacture, finance, etc.). (QD)`+

Is there sufficient confidence in the economy to support current account imbalances?

- o Performance of government bonds in international capital markets. (QD)`+
- o Progress toward meeting standards of regional economic/trade organizations. (EK)`+
- o Number of bilateral and multilateral trade agreements. (EK)`+

STAGE I OBJECTIVE: Societal cleavages, social disintegration, population displacement, and demographic pressures no longer actively fuel violent conflict. Local institutions, with the support of a sustainable level of international assistance, provide access to basic necessities (i.e., food, water, shelter) and deliver social services (i.e., health care, education, and sanitation) in an increasingly equitable manner. Local reconciliation processes have recognized and are addressing past abuses and are promoting peaceful coexistence. Development of social capital provides a basis for internal comity, and consent for the peace process is prevalent.

STAGE II OBJECTIVE: Social institutions can manage societal conflict peacefully. Access to basic necessities and delivery of social services are sufficiently equitable to preserve peace without international intervention. Social comity is sustainable.

GOALS:
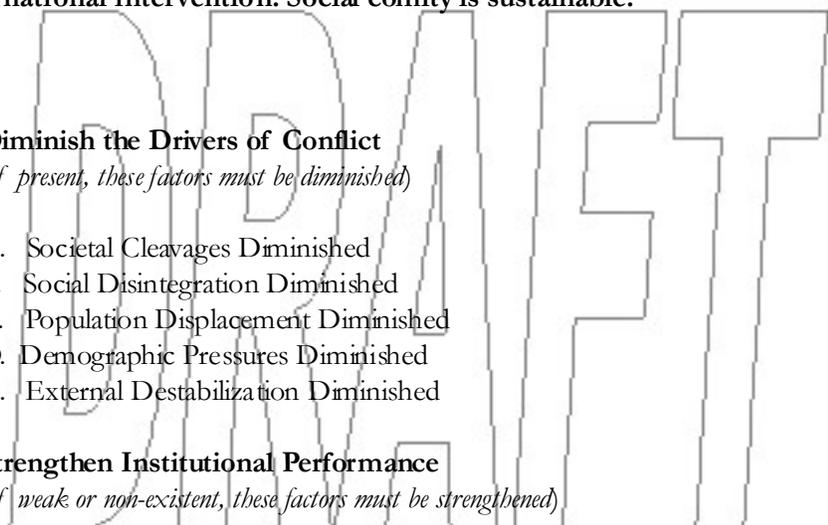
I. **Diminish the Drivers of Conflict**
(*If present, these factors must be diminished*)

A. Societal Cleavages Diminished
B. Social Disintegration Diminished
C. Population Displacement Diminished
D. Demographic Pressures Diminished
E. External Destabilization Diminished

II. **Strengthen Institutional Performance**
(*If weak or non-existent, these factors must be strengthened*)

A. Access to Basic Needs Strengthened
B. Provision of Basic Social Services Strengthened
C. Consent for the Peace Process Strengthened
D. Reconciliation Processes Strengthened
E. National Identity and Social Capital Strengthened

DRIVERS OF CONFLICT

(If present, these factors must be diminished)

A. Societal Cleavages Diminished

Does societal polarization precipitate violent conflict (by identity group)?

- Perception that race polarizes society. (by identity group) (S/PD)`-
- Perception that ethnic identity polarizes society. (by identity group) (S/PD)`-
- Perception that religion polarizes society. (by identity group) (S/PD)`-
- Perception that class/caste polarizes society. (by identity group) (S/PD)`-
- Perception that tribal affiliation polarizes society. (by identity group) (S/PD)`-
- Incidence of hate crimes and attacks on symbols of group identity. (QD, CA)`-
- Group acceptance of exclusionary social practices. (S/PD)`-
- Readiness to use violence to achieve socio-political ends, including killing of noncombatants/innocent civilians. (S/PD)`-
- Prevalence of "zero-sum" culture. (CA)`-

Are disenfranchised groups marginalized through government policy or social discrimination?

- Perceptions of discrimination in government policies (by identity group). (S/PD)`-
- Practices by social elites that restrict mobility and voice/social-standing to excluded groups (EK)`-
- Isolation/distance of excluded groups from centers of power/influence. (EK, CA)`-
- Prevalence of laws and policies that either enforce or prohibit expressions of group identity. (EK, QD)`-

Is society polarized on the basis of ideology?

- Competing worldviews exist in population. (CA, S/PD, EK)`-
- Resentment and antagonism between groups with different worldviews is a rationale for resorting to violence. (S/PD)`-
- Prevalence of intolerance of competing world views. (S/PD)`-

B. Social Disintegration Diminished

Have informal and/or traditional social support structures (households, extended family, clan, and tribal) disintegrated (by identity group)?

- Individuals perceive themselves as disconnected from society (distrust, discontent, pessimism, alienation, estrangement) (S/PD)`-
- Prevalence of family break-up (QD, EK)`-
- Prevalence of homelessness. (QD)`-
- Number of street children.(QD)`-
- Percentage of gang membership composed of children/youth. (QD, EK)`-
- Extent to which illicit power structures have replaced informal social support networks as a source of basic needs and social services. (EK, CA)`-

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C. Population Displacement Diminished

Have refugees and Internally Displaced Persons (IDPs) either returned to their homes or resettled elsewhere?

- o Number of refugees and IDPs who returned to their homes voluntarily. (QD)`+
- o The number of refugees and IDPs who have resettled in locations other than their original homes. (QD)`d
- o Number of refugees and IDPs who remain in camps. (QD)`-
- o Number of refugees and IDPs who remain embedded in host communities. (QD)`-
- o Perceptions of refugees and IDPs that the security conditions in their home country are suitable for return or resettlement. (S/PD)`+
- o Perceptions of refugees and IDPs that the ability to meet basic needs in their home country is suitable for return or resettlement. (S/PD)`+

D. Demographic Pressures Diminished

Has population growth created pressures conducive to conflict?

- o Percent of employment-aged youth who are unemployed or underemployed. (QD)`-
- o A "youth bulge" exists (percentage of population between 15 and 29). (QD)`-
- o Perception by identity group members that divergent rates of population growth or the influx of migrants creates a threat (to way of life, job security, access to resources) (by identity group). (S/PD)`-

Has urbanization created dislocations and pressures conducive to conflict?

- o Percent of population in urban areas. (QD)`d
- o Percent of urban population without access to basic services. (By identity group) (QD)`-
- o Unemployment rate of urban population. (by identity group) (QD)`-
- o Highly localized concentrations of urban poverty exist. (QD, EK)`-

E. External Destabilization Diminished

Do identity group settlement patterns contribute to violent conflict?

- o Correlation of cross-border settlement patterns with incidents of violent conflict. (QD) `d

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INSTITUTIONAL PERFORMANCE
(If weak or non-existent, these factors must be strengthened)

A. Access to Basic Needs Strengthened

Are the domestic systems that assure food security functioning (by identity group)?

- Access to care for malnourishment and exposure. (QD)`+
- Perception of heads of households that, under normal conditions, they are able to meet their food needs either by growing foodstuffs/raising livestock or purchasing food on the market. (S/PD)`+
- Perception of heads of households that emergency food needs can be met through support from extended family, kinship networks, or village support systems. (S/PD)`+
- Strength of domestic official relief for meeting emergency food needs. (EK)`+

Are the domestic systems that provide water and sanitation functioning (by identity group)?

- Percentage of households with easy access to potable water. (QD, EK)`+
- Percentage of households with easy access to sanitation. (QD, EK)`+

Are the domestic systems that provide shelter functioning (By identity group)?

- Percentage/number of individuals/families without shelter. (QD)`-
- Percentage/number of households in makeshift/temporary housing provided by official domestic systems. (QD)`+

B. Provision of Basic Social Services Strengthened

Is health care accessible (By identity group)?

- Perception that health care is accessible. (S/PD)`+
- Ratio of practicing doctors, nurses, and health care workers to population (QD)`+
- Time it takes to reach a health care facility. (QD)`-
- Willingness of health care providers to tend to a member of another identity group. (S/PD)`+
- Cost of healthcare relative to income. (by identity group) (QD, EK)`-

Is health care effective (By identity group)?

- Infant mortality rate (QD)`-
- Maternal mortality rate (QD)`-
- Average lifespan. (QD)`+
- Premature death. (QD) `-

Is education accessible (By identity group)?

- o Percentage of youth enrolled in primary schools, secondary schools, and college) (By identity group and gender). (QD)`+
- o Perception that teachers are neutral. (By identity group) (S/PD)`+
- o Percentage of the population who have graduated from college (indigenous or external) (By identity group). (QD)`+
- o Cost of education as a percentage of income. (QD)`-

Is the education system effective (By identity group)?

- o Literacy rates (By age group and gender. (QD)`+
- o Quality of primary schools, secondary schools, and college) (by identity group and gender). (e.g., ratio of teachers to school age population, textbooks; school hours/year). (EK)`+
- o Satisfaction with schooling among families with children in school. (S/PD)`+
- o Extent of classroom integration. (QD)`+

C. Public Satisfaction with Social Outcomes of Peace Process Strengthened

What is the degree of satisfaction with the peace process?

- o Perception that the risks of cooperating with international and local efforts to advance the peace process are worth assuming. (S/PD)`+
- o Perception that the peace process will protect, restore, and respect core social values, norms, practices, or underlying worldview. (S/PD)`+
- o Perception that the peace process will enhance the overall quality of life of family members, close associates, and community. (S/PD)`+
- o Perception that the peace process will improve tolerance and social interaction among groups that had been party to the conflict. (S/PD)`+
- o Perception that the peace process will afford people an appropriate say in local decisions in their community on key issues affecting daily life. (S/PD)`+
- o Perception that the peace process will advance one's underlying worldview. (S/PD)`+

D. Public Satisfaction with Reconciliation Processes Strengthened

To what extent has the legacy of past abuses been recognized, addressed, and reconciled?

- o Public satisfaction in the way past abuses have been dealt with (By identity group) (S/PD, EK)`+
- o Extent to which victims have been afforded the opportunity to act as witnesses in formal reconciliation processes.(EK, S/PD)`+
- o Extent to which perpetrators have acknowledged past wrongs (EK, CA)`+
- o Extent to which victims have forgiven perpetrators (EK, S/PD)`+

Are compromise, tolerance, and peaceful co-existence values that are apparent across identity groups?

- o Degree of tolerance and readiness to compromise with members of other identity groups (S/PD)`+
- o Public support for moderate leaders and their values. (S/PD)`+
- o Prevalence of rhetoric promoting tolerance and peaceful coexistence (or division and conflict) in formal schooling (e.g. textbooks), religious education, local media (print, radio, TV, Internet). (CA)`+
- o Prevalence of civil society groups that promote peaceful co-existence and tolerance.(EK)`+

E. National Identity and Social Capital Strengthened

To what extent does the populace feel connected to a common national identity that transcends perceptions of negative identity group differences?

- o Existence of social cohesion based on perceived shared national identity (EK, CA)`+
- o Perception that negative group identity is stronger than a shared national identity (S/PD)`-

To what extent is there a sense of trust and reciprocity in society, among individuals and groups?

- o Degree of trust in and willingness to collaborate with others. (by identity group) (S/PD)`+
- o Sense of solidarity with others (Expectation of/reliance on help from others) (by identity group) (S/PD)`+

To what level (e.g. immediate family, neighborhood, nation, global community) does a sense of affiliation with social groupings extend?

- o Extent of trust and confidence in social groupings and institutions from the lowest to highest levels. (S/PD, EK)`+

Do informal social networks have the capacity to foster collaboration, dispute-resolution, and peacefulness within society?

- o Level of participation in civic and community organizations that cross social cleavages. (S/PD, EK)`+
- o Number of initiatives by group leaders and individuals of influence to use informal dispute resolution mechanisms to avert conflict. (CA, EK)`+