**C1: Security Apparatus**

The Security Apparatus indicator considers the security threats to a state, such as bombings, attacks and battle-related deaths, rebel movements, mutinies, coups, or terrorism. The Security Apparatus also takes into account serious criminal factors, such as organized crime and homicides, and perceived trust of citizens in domestic security. In some instances, the security apparatus may extend beyond traditional military or police forces to include state-sponsored or state-supported private militias that terrorize political opponents, suspected “enemies,” or civilians seen to be sympathetic to the opposition. In other instances, the security apparatus of a state can include a “deep state”, that may consist of secret intelligence units, or other irregular security forces, that serve the interests of a political leader or clique. As a counter example, the indicator will also take into account armed resistance to a governing authority, particularly the manifestation of violent uprisings and insurgencies, proliferation of independent militias, vigilantes, or mercenary groups that challenge the state’s monopoly of the use of force.

*Questions to consider may include\*:*

**Monopoly on the Use of Force**

* Military: Is the military under civilian control?
* Militias: Do private militias exist against the state?
* Paramilitary: Is there paramilitary activity?
* Private Forces: Do private armies exist to protect assets?
* Guerillas: Are there guerilla forces operating in the state? Do they control territory?

**Relationship Between Security and Citizenry**

* Professionalization of Police: Are the police considered to be professional?
* Political Violence: Is violence often state-sponsored and politically motivated?
* Government Response to Security Threats: Is the government dealing well with any insurgency or security situation?

**Force**

* Use of Force: Does the military and police maintain proper use of force?
* Accusations of Police Brutality: Are there accusations of police brutality?

**Arms**

* Arms Proliferation: Is there a high availability of weapons?
* DDR Program: If in reconstruction, is there an adequate plan for demobilization, disarmament and reintegration of former combatants?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**C2: Factionalized Elites**

The Factionalized Elites indicator considers the fragmentation of state institutions along ethnic, class, clan, racial or religious lines, as well as and brinksmanship and gridlock between ruling elites. It also factors the use of nationalistic political rhetoric by ruling elites, often in terms of nationalism, xenophobia, communal irredentism (e.g., a “greater Serbia”) or of communal solidarity (e.g., “ethnic cleansing” or “defending the faith”). In extreme cases, it can be representative of the absence of legitimate leadership widely accepted as representing the entire citizenry. The Factionalized Elites indicator measures power struggles, political competition, political transitions, and where elections occur will factor in the credibility of electoral processes (or in their absence, the perceived legitimacy of the ruling class).

*Questions to consider may include\**

**Representative Leadership**

* Leadership: Is leadership fairly elected? Is leadership representative of the population?
* Fragmentation: Are there factionalized elites, tribal elites and/or fringe groups? How powerful are they?
* Political Reconciliation: Is there a political reconciliation process?
* Representation in Military: Is the military representative of the population?

**Identity**

* National Identity: Is there a sense of national identity? Are there strong feelings of nationalism? Or are there calls for separatism?
* Extremist Rhetoric: Does hate radio and media exist?
* Stereotyping: Is religious, ethnic, or other stereotyping prevalent and is there scape-goating?
* Cross Cultural Respect: Does cross-cultural respect exist?

**Resource Distribution**

* Concentration of Wealth: Is wealth concentrated in the hands of a few?
* Growing Middle Class: Is there a burgeoning middle class?
* Control of Resources: Does any one group control the majority of resources?
* Resources Distribution: Are resources fairly distributed? Does the government adequately distribute wealth through its tax system and taxes?

**Equality and Equity**

* Law: Are the laws democratic or extreme?
* Representation in Judicial System: Is the system representative of the population?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**C3: Group Grievance**

The Group Grievance Indicator focuses on divisions and schisms between different groups in society – particularly divisions based on social or political characteristics – and their role in access to services or resources, and inclusion in the political process. Group Grievance may also have a historical component, where aggrieved communal groups cite injustices of the past, sometimes going back centuries, that influence and shape that group’s role in society and relationships with other groups. This history may in turn be shaped by patterns of real or perceived atrocities or “crimes” committed with apparent impunity against communal groups. Groups may also feel aggrieved because they are denied autonomy, self-determination or political independence to which they believe they are entitled. The Indicator also considers where specific groups are singled out by state authorities, or by dominant groups, for persecution or repression, or where there is public scapegoating of groups believed to have acquired wealth, status or power “illegitimately”, which may manifest itself in the emergence of fiery rhetoric, such as through “hate” radio, pamphleteering, and stereotypical or nationalistic political speech.

*Questions to consider may include\*:*

**Post-Conflict Response**

* Truth & Reconciliation: Does a Truth & Reconciliation process exist or is one planned, needed?
* Reintegration: Have groups been reintegrated, if applicable?
* Reconstruction: Is there a plan for reconstruction and development?
* Compensation for Victims: Are victims of past atrocities compensated or is their a plan to compensate them?
* War Criminals: Are war criminals apprehended and prosecuted? Do the public feel they are properly punished?
* Amnesty: Has amnesty been granted?

**Equality**

* Distribution of Resources: Is there an equitable and efficient distribution of resources?

**Divisions**

* Group Hatred or Tolerance: Are there feelings of or reports of ethnic and/or religious intolerance and/or violence?
* Group Oppression: Are groups oppressed or do they feel oppressed?
* History: Is there a history of violence against a group or group grievance?
* Intergroup Relations: How are intertribal and/or interethnic relations?
* Religious Persecution or Tolerance: Is there freedom of religion according to laws and practiced by society? Are there reports of violence that is religiously motivated?

**Communal Violence**

* Vigilante Justice: Are there reports of vigilant justice?
* Mass Violence: Are the reports of mass violence and/or killings? Are there reports of violence that is racially motivated?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**E1: Economic Decline and Poverty**

The Economic Decline Indicator considers factors related to economic decline within a country. For example, the Indicator looks at patterns of progressive economic decline of the society as a whole as measured by per capita income, Gross National Product, unemployment rates, inflation, productivity, debt, poverty levels, or business failures. It also takes into account sudden drops in commodity prices, trade revenue, or foreign investment, and any collapse or devaluation of the national currency. The Economic Decline Indicator further considers the responses to economic conditions and their consequences, such as extreme social hardship imposed by economic austerity programs, or perceived increasing group inequalities. The Economic Decline Indicator is focused on the formal economy – as well as illicit trade, including the drug and human trafficking, and capital flight, or levels of corruption and illicit transactions such as money laundering or embezzlement.

*Questions to consider may include\*:*

**Public Finances**

* Government Debt: What is the government debt?

**Economic Conditions**

* Interest Rates: How are the interest rates – actual and projected?
* Inflation Rate: How is the inflation rate – actual and projected?
* Productivity: What is the productivity?
* GDP: What is the GDP – actual and projected?
* Unemployment: How is the unemployment – current and rate of unemployment?

**Economic Climate**

* Consumer Confidence: How do people view the economy?
* National Economy: How do experts view the economy?
* Business Climate for FDI: Is the business climate attractive to FDI?
* Business Climate for Entrepreneurship: Do the laws and access to capital allow for internal entrepreneurship?

**Economic Diversification**

* Economic Focus: Does one product make up the majority of the economy?

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**E2: Uneven Economic Development**

The Uneven Economic Development Indicator considers inequality within the economy, irrespective of the actual performance of an economy. For example, the Indicator looks at structural inequality that is based on group (such as racial, ethnic, religious, or other identity group) or based on education, economic status, or region (such as urban-rural divide). The Indicator considers not only actual inequality, but also perceptions of inequality, recognizing that perceptions of economic inequality can fuel grievance as much as real inequality, and can reinforce communal tensions or nationalistic rhetoric. Further to measuring economic inequality, the Indicator also takes into account the opportunities for groups to improve their economic status, such as through access to employment, education, or job training such that even if there is economic inequality present, to what degree it is structural and reinforcing.

*Questions to consider may include\*:*

**Economic Equality**

* Economic Equality – Gap: Is there a large economic gap?
* Discriminatory Economics: Is the economic system discriminatory?
* Economic Justice: Does economic justice exist?
* Hiring Practices: Are hiring practices generally fair – legally and the perception of others?
* Social System: Do equal rights exist in the society?
* Equal Rights Legislation: Are there laws protecting equal rights?

**Economic Opportunity**

* Free Education: Does free education exist and if so, to which grade?
* Equal Education: Is the education provided relatively equal?
* Fair Housing: Is there a housing system for the poor?
* Job Training: Do programs for job training exist?
* Access to Job Training: Use Do people know about the job training and is it available based on qualification and need?

**Socio-Economic Dynamics**

* Ghettos or Slums: Do ghettos and slums exist?

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**E3: Human Flight and Brain Drain**

The Human Flight and Brain Drain Indicator considers the economic impact of human displacement (for economic or political reasons) and the consequences this may have on a country’s development. On the one hand, this may involve the voluntary emigration of the middle class – particularly economically productive segments of the population, such as entrepreneurs, or skilled workers such as physicians – due to economic deterioration in their home country and the hope of better opportunities farther afield. On the other hand, it may involve the forced displacement of professionals or intellectuals who are fleeing their country due to actual or feared persecution or repression, and specifically the economic impact that displacement may wreak on an economy through the loss of productive, skilled professional labor.

*Questions to consider may include\*:*

**Retention of Technical and Intellectual Capital**

* Professional Flight: Are professionals leaving the country?
* Political Drain or Return: Are politicians leaving the country?
* Brain Drain: Is there a relatively high proportion of higher educated people leaving the country?
* Return of Middle Class: Is the middle class beginning to return to the country?

**Economics**

* Remittances: Are there a large amount of remittances coming to families from relatives overseas?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**P1: State Legitimacy**

The State Legitimacy Indicator considers the representativeness and openness of government and its relationship with its citizenry. The Indicator looks at the population’s level of confidence in state institutions and processes, and assesses the effects where that confidence is absent, manifested through mass public demonstrations, sustained civil disobedience, or the rise of armed insurgencies. Though the State Legitimacy indicator does not necessarily make a judgment on democratic governance, it does consider the integrity of elections where they take place (such as flawed or boycotted elections), the nature of political transitions, and where there is an absence of democratic elections, the degree to which the government is representative of the population of which it governs. The Indicator takes into account openness of government, specifically the openness of ruling elites to transparency, accountability and political representation, or conversely the levels of corruption, profiteering, and marginalizing, persecuting, or otherwise excluding opposition groups. The Indicator also considers the ability of a state to exercise basic functions that infer a population’s confidence in its government and institutions, such as through the ability to collect taxes.

*Questions to consider may include\*:*

**Confidence in the Political Process**

* Confidence in Government: Does the government have the confidence of the people?

**Political Opposition**

* Peaceful Demonstrations: Have peaceful demonstrations occurred
* Riots & Uprisings: Have riots occurred?

**Transparency**

* Corruption of Federal Officials: Is there evidence of corruption on the part of federal officials?
* Accusation of Corruption of Officials: Are federal and/or local officials considered to be corrupt?

**Openness and Fairness of the Political Process**

* Political Rights: Do political rights for all parties exist?
* Makeup of Government: Is the government representative of the population?
* Leadership Transition: Have there been recent peaceful transitions of power?
* History of Leadership Transitions: What is the longer term history of transition of power?
* Perception of Elections: Are elections perceived to be free and fair?
* Monitoring of Elections: Have elections been monitored and reported as free and fair?

**Political Violence**

* Political Assassinations: Are there reports of politically motivated attacks and assassinations?
* Armed Insurgents: Are there reports of armed insurgents and attacks?
* Terrorism: Have there been terrorist attacks such as suicide bombings and how likely are they?

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**P2: Public Services**

The Public Services Indicator refers to the presence of basic state functions that serve the people. On the one hand, this may include the provision of essential services, such as health, education, water and sanitation, transport infrastructure, electricity and power, and internet and connectivity. On the other hand, it may include the state’s ability to protect its citizens, such as from terrorism and violence, through perceived effective policing. Further, even where basic state functions and services are provided, the Indicator further considers to whom – whether the state narrowly serves the ruling elites, such as security agencies, presidential staff, the central bank, or the diplomatic service, while failing to provide comparable levels of service to the general populace – such as rural versus urban populations. The Indicator also considers the level and maintenance of general infrastructure to the extent that its absence would negatively affect the country’s actual or potential development.

*Questions to consider may include\*:*

**General Provision of Public Services**

* Public Services Equality: Is there equal access to public services?
* Public Services General: What are the general conditions of public services?

**Health**

* Access to Medicine: Do people have adequate access to medicines?
* Number of Clinics or Hospitals: Are there an adequate number of medical facilities for the population?
* Number of Physicians: Are there an adequate number of medical professionals for the population?
* Infant Mortality: What is the infant mortality rate – actual and projected?
* Potable Water: Is there access to an adequate potable water supply?
* Sanitation: Is sanitation system adequate?

**Education**

* Education Enrollment: What is the level of school enrollment? Is it different for boys versus girls?
* Literacy Rates: What are the literacy rates? Is it different for boys versus girls?

**Shelter**

* Access to Housing: Do the poor have access to adequate housing?
* Housing Costs: Are housing costs in line with the general economy?

**Infrastructure**

* Roads: Are roads adequate and safe?
* Airports: Are there adequate airports for sustainable development?
* Railroads: Are there adequate railroads for sustainable development?
* Fuel Supply: Is there an adequate supply of fuel?

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**P3: Human Rights and Rule of Law**

The Human Rights and Rule of Law Indicator considers the relationship between the state and its population insofar as fundamental human rights are protected and freedoms are observed and respected. The Indicator looks at whether there is widespread abuse of legal, political and social rights, including those of individuals, groups and institutions (e.g. harassment of the press, politicization of the judiciary, internal use of military for political ends, repression of political opponents). The Indicator also considers outbreaks of politically inspired (as opposed to criminal) violence perpetrated against civilians. It also looks at factors such as denial of due process consistent with international norms and practices for political prisoners or dissidents, and whether there is current or emerging authoritarian, dictatorial or military rule in which constitutional and democratic institutions and processes are suspended or manipulated.

*Questions to consider may include\*:*

**Civil and Political Rights**

* Rights: Do communal, labor, political, and/or minority rights exist and are they protected?
* Civil Rights: Are there civil rights laws and are civil rights protected?
* Right to Life: Is the right to life protected for all citizens?

**Civil and Political Freedoms**

* Freedom of Speech: Are there laws protecting freedom of speech?
* Freedom of Movement: Is there freedom of movement?
* Freedom of Religion: Does religious freedom exist? Does religious extremism exist?

**Violation of Rights**

* Systemic Violation of Rights: Is there a history of systemic violation of rights by the government or entity therein?
* Torture: Are there reports of state- or group-sponsored torture?
* Forced Labor: Are there labor laws or reports of forced labor?
* Child Labor: Are there child labor laws or reports of child labor?
* Forced Relocation: Are groups forced to relocate? If relocation occurs, is there a system ensuring proper compensation?

**Openness**

* Existence of Independent Media: Does it exist? Do its reporters feel free to publish accusations against those in power?
* Access to Information: Is there equal access to information?

**Justice**

* Legal System: If rights are not protected, is there a legal system in which that can be addressed?
* Fair Trials: Do accused receive a fair and timely trial? Is this equal for all?
* Arbitrary Arrests: Are there accusations or reports of arbitrary arrests? Are these state-sponsored?
* Illegal Detention: Are there accusations or reports of illegal detention? Are these state-sponsored?
* Prison Conditions: How are the prison conditions?

**Equality**

* Power Sharing: Is there a process and system that encourages political power sharing?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**S1: Demographic Pressures**

The Demographic Pressures Indicator considers pressures upon the state deriving from the population itself or the environment around it. For example, the Indicator measures population pressures related to food supply, access to safe water, and other life-sustaining resources, or health, such as prevalence of disease and epidemics. The Indicator considers demographic characteristics, such as pressures from high population growth rates or skewed population distributions, such as a “youth or age bulge,” or sharply divergent rates of population growth among competing communal groups, recognizing that such effects can have profound social, economic, and political effects. Beyond the population, the Indicator also takes into account pressures stemming from natural disasters (hurricanes, earthquakes, floods or drought), and pressures upon the population from environmental hazards.

*Questions to consider may include\*:*

**Population**

* Population Growth: Is the population growth rate sustainable?
* Population Distribution: Is the current and projected distribution reasonable?
* Population Density: Is population density putting pressure on areas of the state?
* Infant Mortality: What is the infant mortality rate – actual and projected?
* Orphan Population: Is there a high orphan population?

**Public Health**

* Disease Control: Is there a system for controlling spreading of diseases or pandemics?
* Disease Epidemics: Is there a high likelihood or existence of diseases of epidemics?
* HIV Aids: What is the rate of spread of HIV Aids cases—most recent and projected?

**Food and Nutrition**

* Food supply: Is the food supply adequate to deal with potential interruption?
* Drought: Is there are high likelihood of droughts or is there currently a drought?
* Starvation: Is there a short-term food shortage that needs to be alleviated?
* Malnutrition: Are there long-term food shortages affecting health?

**Environment**

* Environment: Do sound environmental policies exist and are the current practices sustainable?
* Likelihood of Natural Disasters: Is a natural disaster likely, recurring?
* Impact of Natural Disasters: If a natural disaster occurs, is there an adequate response plan?
* Deforestation: Has deforestation taken place or are there laws to protect forests?

**Resources**

* Resources: Does resource competition exist and are there laws to arbitrate disputes?
* Land competition: Does land competition it and are there laws to arbitrate land disputes?
* Water Supply: Is there access to an adequate potable water supply?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**S2: Refugees and IDPs**

The Refugees and Internally Displaced Persons Indicator measures the pressure upon states caused by the forced displacement of large communities as a result of social, political, environmental or other causes, measuring displacement within countries, as well as refugee flows into others. The indicator measures refugees by country of Asylum, recognizing that population inflows can put additional pressure on public services, and can sometimes create broader humanitarian and security challenges for the receiving state, if that state does not have the absorption capacity and adequate resources. The Indicator also measures the Internally Displaced Persons (IDP) and Refugees by country of origin, which signifies internal state pressures as a result of violence, environmental or other factors such as health epidemics. These measures are considered within the context of the state’s population (per capita) and human development trajectory, and over time (year on year spikes), recognizing that some IDPs or refugees for example, may have been displaced for long periods of time.

*Questions to consider may include\*:*

**Refugees**

* Influx of Refugees: Are refugees likely to come from neighboring countries?
* Impact of Refugees: Are there resources to provide for projected and actual refugees?
* Increase in Refugee Camps: Are there sufficient refugee camps or are refugees integrated into communities?
* Violence against Refugees: Are there reports of violence against refugees?
* Safety of Refugee Camps: Are conditions safe in refugee camps?

**Internally Displaced Persons**

* Number of IDPs: How many IDPs are there in relation to population?
* Increase in IDPs: Are IDPs likely to increase in the near future?
* Impact of IDPs: Are there resources to provide for projected and actual IDPs?

**Response to Displacement**

* Relief Efforts: Is there access to additional resources from international community for refugees and/or IDPs?
* Relocation & Settlement: Are there plans for relocation and settlement of current IDPs and/or refugees?

*\* Indicator descriptions are not exhaustive, and are intended only as an entry point for further interpretive analysis by the user.*

**X1: External Intervention**

The External Intervention Indicator considers the influence and impact of external actors in the functioning – particularly security and economic – of a state. On the one hand, External Intervention focuses on security aspects of engagement from external actors, both covert and overt, in the internal affairs of a state at risk by governments, armies, intelligence services, identity groups, or other entities that may affect the balance of power (or resolution of a conflict) within a state. On the other hand, External Intervention also focuses on economic engagement by outside actors, including multilateral organizations, through large-scale loans, development projects, or foreign aid, such as ongoing budget support, control of finances, or management of the state’s economic policy, creating economic dependency. External Intervention also takes into account humanitarian intervention, such as the deployment of an international peacekeeping mission.

*Questions to consider may include\*:*

**Political Intervention**

* External Support for Factions: Is there external support for factions opposed to the government?

**Force Intervention**

* Presence of Foreign Troops: Are foreign troops present?
* Military Attacks Across Borders: Are military attacks from other countries occurring?
* Military Assistance: Is there external military assistance?
* Military Training: Are there military training exercises with other nations or support of military training from other states?
* Peacekeeping: Is there a peacekeeping operation on the ground?
* Training of Police: Is there external support for police training?
* Covert Intervention: Are covert operations taking place?

**Economic Intervention**

* Economic Intervention or Aid: Is the country receiving economic aid?
* Dependency on Aid: Is the country dependent on economic aid?

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