Annex 1: Factors with constituent indicators.

The summary of factors shown below provides information on each of the seven factors, followed by a list of indicators each of which is articulated in the form of a question. It also includes several guiding questions, which may be useful when completing the more detailed analysis in the following pages.

The factors and constituent indicators listed below are premised on the view that it is impossible to analyse risk in a formulaic manner. While there are undoubtedly some 'general' indicators (for example, caching of weapons), their contribution to the overall risk level requires an evaluation within the specific context of the country under analysis (thereby requiring reference to other variables that similarly must be evaluated in this holistic manner). The indicators and method proposed below are not intended as the 'final' word, but rather, a practically useful template for use in a policy-making context. Annex 2 provides a visual means of representing both risk level and trend through a system of coloured arrows.

1. Socio-Economic Conditions.

*This factor is comprised largely of structural preconditions for conflict, or the background conditions/root causes that make violent conflict more likely. **Some broad questions include:** **Does the country exhibit background signs of structural risk (a necessary not a sufficient condition for a complex emergency)? Has there been a rapid change or deterioration in socio-economic conditions? Are these structural factors being used instrumentally to mobilize a political will in favour of violence? Is this change recognized by the public at large?** How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A: Economy			
	Are fungible resources present and could they be extracted for the purpose of financing war? Is one group attempting to control resource rich areas?		
	Is the country facing a rapid economic decline marked by a severe drop in GDP annual growth rate? Is there widespread awareness of this downturn?		
	Is the country dependent on primary exports? Has there been a collapse in commodity prices for key primary exports? Is one region/area more dependent on primary exports than another?		
	Is the country facing a financial crisis?		
	Is physical infrastructure collapsing?		
B: Social Factors			
	Do disparities in the distribution of goods (political, economic, social and other) between groups exist**?**		
	Do **minorities** have access to political and social opportunities, and are they able to continue their cultural practices?		
	What are trends in infant mortality and how are they related to poverty/GDP annual growth rate?		
	Is there currently dominance of one group over another? What form does this dominance take? Social, political, economic or military?		
	Is media ownership/control of a form that it could easily be mobilized in favour of war?		
	Does the spread of HIV/Aids in the military make it more vulnerable to attack by an external actor? Is the		

	spread of HIV/Aids contributing to a general degradation of societal structures and overburdening resources? Is there a large diaspora community in a foreign country? Would it be willing to provide funds, and other forms of material and non-material support?		
	Is there a history of tension between groups that could be used instrumentally to mobilise a popular will in favour of violent conflict?		
	What is the distribution of ethnic groups and is this stabilizing or destabilizing?		
	What are the patterns in the distribution of the population and how do they affect the possibility of conflict?		
D. Environmental/Geographic Factors			
	Are harsh weather conditions/natural disasters capable of contributing to political instability?		
	Is food scarcity creating a competition over resources? Is this possibility particularly acute in one region? Is there ready access to potable water?		
	Is the topography of the country 'rough' and therefore amenable to an armed insurgency?		

2. State and Institutions

This factor consists of both structural and proximate factors affecting the capacity of a society to deal with conflict in a peaceful manner and to deliver necessary services to citizens. States in the process of failure are more susceptible to violent conflict. **Is the state showing signs that suggest it may be moving towards failure? Do credible institutional structures exist that are capable of mediating a political settlement between potential belligerents (can include domestic, regional or international political structures)?** *How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A. State authority/legitimacy			
	Are state structures perceived as losing legitimacy among a broad range of actors?		
	Are certain **regions** badly or not at all integrated in the state?		
	Is there a disparity in wealth between different regions within the state? Is this disparity maintained by the state, for example through differential access to natural resources?		
	Do **political reform** programmes (democratisation, decentralization et cetera) seriously **threaten group interests** or create an uncontrollable number of losers? Is the regime trying to reform and thereby weakening itself.		
	Has there been a loss/reduction of **political space** for opposition and civil society? Is the political climate increasingly intolerant toward dissenting views?		

	Is a **radical redistribution of power** in progress between groups? Is this process being supported or reinforced by state structures? Do all major **identity groups feel represented** by state leadership? Is a major government decision, law or decree on key issues perceived as **harming group interests** (e.g. immigration, resettlement, electoral law)?		
	Are there alternative political structures/leaders capable of filling the breach if the existing leader fails? (Political leaders can sometimes be part of the problem, not the solution).		
	Does the government include representatives of the major identity groups and encourage the **population to participate** in political opportunities?		
	Has the state increasingly worked to remove and/or change traditional minority rights?		
	Does the **constitution** provide for a disproportionate balance of power/perception thereof?		
	Are constraints on **military and paramilitary** activity diminishing? Is the military's allegiance questionable?		
	Are **elections** being suspended or boycotted by major political parties? Were the elections legitimate, or was there evidence of vote rigging, tampering et cetera?		
	Is **immigration** provoked/responded to by new hostile policies?		
	Are there **leadership struggles** over political succession?		
B. Central Institutions and Public Service			
	Do **central institutions** show signs of imminent breakdown (e.g. Central Bank)?		
	Has there been a **sharp deterioration in public services**?		
	Are essential public institutions perceived by important groups of society as **ineffective or completely broken down?**		
	Are horizontal inequalities reinforced by the state's institutions?		
	Is there a growing distrust of the state security apparatus? Is there a growing perception that government will maintain their impunity regardless of their actions?		
	Is the **security sector/military** no longer under civilian control and/or increasingly politicised?		
	Is the **government** preparing to use **force** in order to remain in power?		
C. Rule of Law/Judiciary			
	Is **high level corruption and/or organised** crime undermining (part of) the state/government (i.e. perception of ineffective government and/or anarchy (low level corruption is unlikely to be destabilizing))?		
	Have there been widespread revelations of **high-level** state abuse of power and corruption?		
	Is the application and/or enforcement of **law perceived as biased or ineffective**?		
	Is the judiciary independent? If not, is this fact perceived as delegitimising the state?		
	Is the law applied uniformly to all?		

3. Regional/international dimension.

This factor also consists of both structural and proximate factors. It focuses on how a crisis might spill over and in turn how external actors may influence the development of a crisis (both positively and negatively). **Are other states in the region potentially destabilized by unrest and are they likely to 'intervene' whether covertly or overtly (i.e. the crisis causes regional instability)? Are neighbouring states working actively to destabilize the country under threat?** *How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A. Regional alliances			
	Are neighbouring states potentially **destabilized** by the emerging situation?		
	Are neighbouring and other countries **providing assistance** (materiel or other) in a fashion that could make a crisis more likely?		
	Is a neighbouring state undertaking **training** of an armed group?		
	Do neighbouring countries voice **security concerns** in the pursuit of a government policy?		
	Do leaders of **neighbouring countries** appeal to overthrow the regime?		
	Do insurgent groups have a **safe base for operations** in a neighbouring country?		
	Are **Raids on border villages** by warring groups occurring? Are there frequent **border clashes**?		
	Are there **public declaration**s of solidarity with/from ethnic groups in neighbouring countries?		
	Is there an important **diaspora community** within a neighbouring state?		
B. International			
	Are **external alliances** shifting and possibly affecting domestic power relations?		
	Are **organised criminal elements** attempting to move into the country to fill a breech?		
	Is the suspension of external assistance or the application of economic sanctions perceived as an indication of a **loss of international confidence**?		
	Is there evidence of **foreign influence** in events, including support of opposition groups?		
	Are third countries/stakeholders outside the region actively supporting **secessionist groups** or rebels?		

4. Security

This factor focuses almost exclusively on proximate causes of conflict and in particular on the overall level of security in any particular country. **Is the security situation deteriorating, static or improving? Is the situation localized or on a national level?** *How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A. Small arms/light			

weapons			
	Are **small arms/other weapons** more visible on the streets, and/or cached systematically? Is there widespread **distribution of weapons of war** among civilians? Are stockpiles of small arms insecure e.g. poorly guarded?		
	Has the **price of weapons** dropped substantially? Is **ammunition** readily available and affordable (could provide evidence of a cross border flow)?		
	Are there reports that private arms brokers/traffickers are operating in the area? Are there weapons corridors in the region used to illicitly transport small arms? Are mercenaries operating in the area?		
	Are natural resources (for example, diamonds, timber and drugs) easily extractable/available for trafficking in exchange for small arms?		
	Does the government sell old surplus weapons to the population (e.g. after military/police purchase new small arms/light weapons)? Has the government recently distributed weapons to public militias?		
B. Safety			
	Is there a widespread sense of **physical insecurity**? Is there a trend towards the privatisation of security for individuals? This could provide evidence that police are not trusted/capable of maintaining order.		
	Is there **forced expulsion** or repression of certain population groups?		
	Are **clashes** with the governing regime increasing?		
C. Population Movement and Displacement			
	Are **refugee or IDP camps** used by radical groups as breeding ground, e.g. for training, recruitment, to secure aid, or as a hiding spot?		
	Are **refugees/IDPs** exacerbating unresolved ethnic/territorial disputes or creating competition with locally dis-empowered groups?		
	Is the massive influx, departure, or return of **refugees/IDPs** creating new conflicts? Is there a popular perception to this effect?		
D. Mobilisation/Demobilisation			
	Are there **returning troops who are not being successfully demobilized**?		
	Are **material preparations** being made for mass violence (e.g. large orders for ammunition weapons or other killing implements, caching of weapons) and/or **organisational preparations for mass violence taking place** (e.g. growing presence of security forces in target group areas; ominous activity by paramilitary/militia; indoctrination and training of civilians in preparation for war)?		
	Are attempts underway to **control areas rich in fungible resources** (a source of financing for conflict)? Has a black market emerged for key/valuable resources?		
	Is there a clear separation between **police and the military**? Are either perceived negatively by civilians?		

	Have formal links between the **political, religious and military wings** of any potential belligerent coalesced? Is the military de-politicised, (i.e. does it no longer have a political objective? If there is no political motive, then negotiation is more difficult).		
	Do strikes, demonstrations and clashes with the military/police provide evidence of a broader deterioration of the security situation?		

5. Public discourse, ideological factors and elite behaviour

This indicator is proximate in that public discourse can reflect an attempt to mobilise a popular political will in favour of conflict. It is also structural in the sense that ideological factors may be long term and an important feature of the socio-political culture of the country. **Do the pre-conditions necessary to divide people (and pit them against one another) exist? Is an attempt to manipulate and/or mobilize these divisions in progress?** *How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A. Identity			
	Are (real or perceived) latent **ideologies, identities perceived historical injustices or past unpunished atrocities** being **used instrumentally** by political elites, the clergy the public or others to create a popular will in support of violence? Is this manifest in public discourse?		
	Is the politicisation of **language and identity** difference increasingly prevalent in public discourse? Is there a revival of (real or perceived) identity 'factors' in public discourse?		
	Have government elites begun to articulate an **exclusionary ideology**; is dehumanising rhetoric being used in reference to a given group? Has there been any **aggressive rhetoric** and posturing by key opposition groups? Is this rhetoric included in the mainstream/quality press and/or gaining prominence more generally? Is a previously legitimising ideology collapsing (for example, as in the Former Yugoslavia)?		
B. Role of the media			
	Is the **mass media** being used to alienate target group/espouse hate propaganda? Is this rhetoric gaining prominence/finding a receptive audience?		
	Do the **media** exacerbate existing preconceptions and concerns by exploiting controversial issues?		
C. Other			
	Do **prominent personalities** call for increasing violence?		
	Are academics and public intellectuals increasingly articulating an exclusionary ideology? Is popular 'storytelling' changing? What are the stories being told over and over again/particularly the elevation of a historical episode to a 'privileged' place?		
	Are public declarations; credible threats of action, including marches, demonstrations, riots, destruction of property and armed attacks increasingly common?		

6. Human rights and civil liberties

This factor contains mainly proximate indicators. Rights violations should be viewed in their socio-political context to assess whether they are in fact contributing to instability and thereby the likelihood of a wider emergency. **Are rights and civil liberties violations increasing? How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?**

Subcategory	Indicator	Evaluation	Trajectory
A. Human Rights Violations			
	Have there been highly publicized/politically symbolic/significant violent attacks recently?		
	Are ethnic groups being identified in any systematic way? For example through the compilation of identity lists or the issuance of ID cards?		
	Is there any resettlement or expulsion of large numbers of civilians underway either forcibly or through other means (e.g. redirecting a river)?		
	Are there reports of disappearances, detentions, torture? Are there reports of dismissal, arrest, assassination of government officials, civil servants?		
	Are physical attacks against a target group being carried out or anticipated? Is any destruction/confiscation of property, particularly that with a political/religious or other significance taking place?		
	Is there a history of massacres, mass executions or pogroms?		
	Are minority groups excluded from political processes/decision making?		
	Can civil society function (NGOs, academics, others)?		
B. Discriminatory Laws			
	Has there been a suspension or arbitrary application of rule of law and widespread violation of human Rights? Are these violations either state sponsored or implicitly accepted by the State? Are discriminatory and/or restrictive policies increasing (e.g. human rights, restrictions on free speech and media, identification of ethnic/racial or other groups)? Are discriminatory laws, denial of rights to members of targeted group, prohibitions against group's cultural, religious or related practices being introduced?		
	Is access to employment; business opportunities, education, politics/government restricted?		
	Are restrictions being placed on independent media (either closure or censorship?)		
	Is there a systematic pattern of educational bias; differential rewards, lack of access?		
C. Freedom of Expression			
	Are the **media** free, independent and professional?		
	Is there **freedom of expression** and/or a diversified debate that would make it possible to discuss potential		

	conflict at an early stage?		
	Is the expression of dissent still possible or is there increasing intolerance of dissenting views?		
	Are the media, NGOs or international observers being **restricted from access** to certain areas (particularly where potential target groups are based)?		

7. Actors

In most if not all recent crises political actors have sought to mobilise popular support (for example by instrumentalising identity). The existence of actors capable of fomenting a crisis (or incapable of preventing one is a necessary cause of conflict. **Is there a group capable of undertaking violent action? Are they particularly likely to foment and/or participate in unrest?** *How important is this factor/trend relative to others? What are the medium to long-term implications of this factor/trend?*

Subcategory	Indicator	Evaluation	Trajectory
A. State Leaders/Political Actors			
	Are state leaders and/or political actors actively seeking to manipulate social and political circumstances in order to create a popular will for conflict?		
B. Military			
	Is the military under civilian control?		
	Are civilian and military wages being paid?		
	Are children being abducted, trained et cetera?		
	Is the army on high alert?		
	Is military discipline still intact?		
C. Strength of potential opposition (Horizontal inequalities)			
	Are there an unusually high number of young males (particularly unemployed) within the population?		
	Is there an increasing 'radicalisation of youth'? Are youth being deliberately targeted for recruitment in propaganda?		
	Are there a large number of unemployed workers?		
	Are **marginalised groups** preparing to overthrow the regime?		
	Has an ethno-religious identity crystallised for any particular group?		
	Has there been a rise of factionalised elites.		
	Is the inter-penetration of ethno-religious groups increasing/decreasing/static (includes marriage, socializing et cetera)?		

	Do key actors or groups have a **viable interest in destabilising** or overthrowing the regime?		
D. Other			
	Is there a growing awareness of recent changes in any structural/socio-economic factors? For example the perception of uncontrolled inflation, sudden currency devaluation, or general economic downturn that will necessitate greater competition for resources? Is this perception fuelled, for example, by a rapid price hike in essential goods/commodities?		
	Have recent events been particularly inflammatory and/or emboldened any of these actors? E.g. killing during tense time, signs political power is about to be more broadly shared thereby endangering a privileged group?		
	Is there an increasing perception of an 'all or nothing' scenario?		

Ameliorating Factors	Ameliorating factors play a role in reducing the chances of conflict and thereby provide a possible channel that might be deepened or re-enforced through preparedness and preventive programming. From a humanitarian perspective, it also gives us a clearer understanding of how a crisis could emerge and unfold. What capacities exist as potential coping mechanisms at the national, community and household levels? (For example, calls for calm and healing by religious/moral leaders. The key question is: what are the countervailing tendencies and how can resources be made available to support these?)		