

## Self-Assessment Tool

### Infrastructure Strategies for Low Income, Fragile or Conflict-Affected States

This instrument provides a self-assessment of six categories of characteristics – economic activity, political stability, social cohesion, governance, and security – as well as current infrastructure performance.<sup>1</sup> These characteristics affect infrastructure development and performance, affect what types of regulatory systems can be effectively developed, and serve as indicators of areas of weakness that should be worked on if possible. Higher scores are generally associated with higher infrastructure performance. However, none of the six elements is *necessary* for high performance. In addition, none of the six elements (by themselves) is *sufficient* for strong infrastructure performance (as measured by coverage, service quality, cost containment and productivity advance.

This questionnaire is intended to assist decision-makers, such as leaders in the Guiding Coalition, choose appropriate strategies for launching or revitalizing regulatory systems for infrastructure. A country is in a launch situation when a regulatory system is effectively absent, perhaps because the country has never systematically developed such a system, or because a recent conflict has dismantled whatever institutional arrangements had been in place. A country is in a revitalizing situation when a regulatory system is in place, but its effectiveness has been severely damaged, perhaps by conflict or because circumstances have changed significantly, making the existing system badly out of alignment with the current situation and needs.

There are several ways to use this self-assessment.

- i) **Generate a graphical (or visual) representation of your current situation** as you see it by completing the questionnaire. The visual and quantitative scores summarize your situation and can then be entered into the Taxonomy to help you identify countries facing similar circumstances. The Taxonomy will include cases from which lessons can be learned and strategies developed
- ii) **Focus on a specific sector and generate a visual representation** by taking the questionnaire (as above). Since Infrastructure Performance may differ across various sectors, this may be useful to concentrate on a specific sector, such as telecommunications, energy, water, or transportation.
- iii) **Share perspectives through engaging multiple stakeholders** to complete the questionnaire. This can be done by downloading the questionnaire and having representatives of a number of stakeholder groups complete the questionnaire. In addition to facilitating a sharing of perspectives, this approach illustrates the diversity or consensus of opinions, and promotes discussion among those attempting to develop strategies that build on strengths and control for weak areas.
- iv) **Trace the Evolution of the country's situation** using the framework. In this approach, the user(s) go back in time, characterizing their country (or region) at several points of time. The patterns over time can then be analyzed in terms of elements that seemed to have the greatest impact on performance. Lessons can be shared, including with the developers of this Body of Knowledge Portal, so that the portal can be continuously improved.

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<sup>1</sup> The Survey draws upon The g7+ *Fragility Spectrum*, November 2013.

For each of the numbered topics below, indicate to the best of your ability which of the descriptions, **a** through **e**, best describes your circumstances. Sometimes, the descriptions might not exactly match your country's situation, but choose the response that most closely matches your circumstances.

## **Economic Environment**

### **1. Employment**

Most people can find paid employment or have businesses suited to their abilities.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **2. Income Levels**

Most people can afford to pay for basic electricity, water, transport, and telecommunications services.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **3. General Regulation**

In general, business regulations are limited, but adequate for protecting property, contracting, consumers, workplace, and the environment.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **4. Financing Infrastructure**

Regardless of whether infrastructure is government or privately owned, projects are readily financed by private capital, including loans, bonds and other debt instruments, equity investments, and/or by cash generated from the operator's services, and not by government loans or taxpayer subsidies.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

**5. Government Financial Condition**

The government is considered credit worthy, being able to collect taxes and fees, and to sell government bonds at low interest rates, adequate to provide government services without needing foreign assistance.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

**Political Environment**

**6. Political Dialogue**

If asked, citizens would say government is legitimate, engages with the public and follows sound governance principles.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

**7. Agreements Supported**

When agreements among political leaders are reached regarding infrastructure reform, the agreements are kept.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

**8. Citizen Participation**

If asked, citizens would say that they have adequate opportunities for input into government infrastructure policies.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

**9. Political Accountability**

Effective oversight institutions are created, providing effective checks and balances on the government, ensuring government accountability.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **10. Institutional Professionalism and Transparency**

Oversight agencies are professional, responsive, transparent and inclusive.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **Social Cohesion**

### **11. Inclusiveness**

If asked, citizens would say that well-capacitated institutions are in place to ensure infrastructure policies reflect all citizens' concerns, regardless of socioeconomic status, race, etc.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **12. Social Divisions**

There is a strong trust in government.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **13. Social Stability**

Basic law and order is present.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **14. Civil Society**

The role of civil society has been clearly defined in terms of its participation, monitoring, and complaint-resolution; these processes are working well.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **15. Confidence in Infrastructure Institutions**

Communities have full confidence in infrastructure institutions that set and implement public policy and that operate in network industries. (For example, regulatory agencies, contracting authorities, or ministries).

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **Laws and Governance**

### **16. Role of the State**

Instruments of government (for example, regulatory agencies, courts, ministries) enable infrastructure investments to be made throughout the regions of the country.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **17. System of Governance**

There is a meaningful separation of powers within government that makes it hard for the government to break commitments.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **18. Basis of Governmental Decisions**

The government is responsive; it is active in fighting corruption and building strong and merit-based institutions related to infrastructure, such as regulatory agencies and utilities.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **19. Capacity**

Civil service is sufficiently well remunerated to attract and retain quality employees.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **20. Integrity**

Civil service has high integrity; there is minimal corruption and/or nepotism.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **Institutions for Security and Justice**

### **21. Security Conditions**

There has been continuous peace throughout the nation, with no damages to infrastructure networks.

- a. Always has been false
- b. Sometimes has been false
- c. Neither true or false
- d. Sometimes has been true
- e. Always has been true

### **22. Government Presence**

Government is fully operational throughout the nation (there are no contested areas).

- a. Operational in less than 20% of the nation
- b. Operational in 21% - 40% of the nation
- c. Operational in 41% - 60% of the nation
- d. Operational 61% - 80% of the nation
- e. Almost always operational (operational in more than 80% of the nation)

### **23. Justice Institutions**

Efficient and effective means of justice, such as courts, are present such that citizens and institutions have adequate access.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **24. Public Administration for Security and Justice**

There is strong public finance management, including well designed procurement systems; skilled personnel and systems are in place.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **25. Regulatory Framework**

The arrangements that govern the operation of the utilities promote efficient operation, investment and pricing of services that meet the communities' needs.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

## **Infrastructure Performance**

### **26. Access to Transportation Infrastructure**

The road networks connect major population centers in the country.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always

### **27. Access to Electricity Infrastructure**

The population has access to electricity.

- a. Almost never (less than 20% has access)
- b. Seldom (21%-40% has access)
- c. Sometimes (41% - 60% has access)
- d. Often (61% - 80% has access)
- e. Almost always (81% - 100% has access)

### **28. Access to Water Infrastructure**

The population has access to clean water.

- a. Almost never (less than 20% has access)
- b. Seldom (21%-40% has access)
- c. Sometimes (41% - 60% has access)
- d. Often (61% - 80% has access)
- e. Almost always (81% - 100% has access)

### **29. Access to Telecommunications Infrastructure**

The population has access to modern telecommunications.

- a. Almost never (less than 20% has access)
- b. Seldom (21% - 40% has access)
- c. Sometimes (41% - 60% has access)
- d. Often (61% - 80% has access)
- e. Almost always (81% - 100% has access)

### 30. Legal Connections

Customers obtain their infrastructure services through legal connections.

- a. Almost never
- b. Seldom
- c. Sometimes
- d. Often
- e. Almost always



## Presentation of Results

There are five questions for each of the Six Conditions and for Baseline Performance.

a=1

b=2

c=3

d=4

e=5

The average for each condition can be shown on a colorful Spider Web Diagram:

**Scores:**

**Economic Conditions**

**Political Conditions**

**Social Cohesion**

**Governance**

**Institutions for Security and Justice**

**Infrastructure Performance**

Note: There are many ways to “classify” countries. The Self-Assessment Tool utilized here focuses on characteristics that have potentially significant impacts on the sustainability of regulatory arrangements and on infrastructure performance. You can also check out your own nation’s “score” in a number of different compendiums. These do not focus on institutional strengths and weaknesses related to infrastructure, but they can identify other dimensions that present challenges in monitoring, funding and operating infrastructure systems.

## Alternative Approaches to Classifying States

The purpose of this site is not to score or rank individual nations. Rather, the questionnaire is meant to be a diagnostic instrument that helps decision-makers identify elements that currently constrain infrastructure development and provides case studies of strategies adopted by policy-makers in similar situations.

However, some users may be interested in different ways that nations are classified by multinational organizations. The listing below is not intended to be exhaustive, but serves as an entry point to the different schemes.

### World Bank

#### Harmonized List of Fragile Situations

<http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/FY15FragileSituationList.pdf>

### Foreign Policy Index

<http://foreignpolicy.com/2015/06/17/fragile-states-2015-islamic-state-ebola-ukraine-russia-ferguson/>

### OECD States of Fragility Report

<http://www.oecd.org/dac/governance-peace/conflictandfragility/rf.htm>

### Other Elements used in classifying countries:

1. Transparency International's Corruption Perceptions Index  
<http://www.transparency.org/cpi2015/#downloads>
2. Global Competitiveness Report <http://www.weforum.org/reports/global-competitiveness-report-2015>
3. Inclusive Growth Report <http://www.weforum.org/reports/inclusive-growth-report-2015>
4. Rule of Law Index <http://worldjusticeproject.org/rule-of-law-index> and  
[http://worldjusticeproject.org/sites/default/files/roli\\_2015\\_0.pdf](http://worldjusticeproject.org/sites/default/files/roli_2015_0.pdf)
5. World Bank development indicators <http://data.worldbank.org/indicator>
6. Economic Freedom Index <http://www.heritage.org/index/explore>

### Fund for Peace Fragile States Index

Has eleven categories, from very high alert (South Sudan, Somalia, Central African Republic, and Sudan) to very sustainable (Finland)

<http://fsi.fundforpeace.org/rankings-2015>