

SECURITY: GOVERNANCE, ACCOUNTABILITY, & PERFORMANCE

A Multi-Stakeholder Framework &
Guide for Improving Citizen Security

INTRODUCTION

What is Security?

People define security differently depending on the country or region of the world they come from, the sector they work in, or even the immediate context in which they are applying the definition. To the extent that any universal understanding of this concept exists, that understanding continually evolves.

Traditionally, security has been defined by inter-state conflict, other military threats and issues related to state sovereignty and territorial integrity. While these international security issues underpinned much of the thinking about security until the early 1990's, the end of the Cold War marked a shift in the way many people now think about security. For many, focus began to shift from inter-state threats and started to acknowledge the many other threats now facing the world, most of which are unconcerned with state boundaries — global health pandemics, climate change and environmental degradation, violent extremism, transnational organized crime, and conflict over resources such as water, land and minerals.

Security is not just about threats to the state, but about threats to populations, communities and individuals. The concept of human security has been promoted by the United Nations for the past two decades and emphasizes not only traditional, physical security threats that people face, but also their economic, environmental, food, health, personal and political security. Since the emergence of the human security concept in the early 1990's academic and practitioner scholarship on human security has continued to evolve, with consensus emerging that human security is at the core of long-term stability and development. A key element of the concept is the emphasis on the importance of meeting the security needs of individual citizens both for individual well-being and for the stability of the state. This is referred to as citizen security.

Citizen Security is the reduction in the threat of violence to citizens by the state or non-state actors and assurance of peaceful coexistence between all actors in any given society so that everyone can live free from harm, violence and retribution.

An Inclusive Approach to Security Reform Processes

PartnersGlobal created the **Security: Governance, Accountability and Performance (SGAP) Framework** based on the understanding that the functioning of a security system is meant to both ensure stability of the state under traditional notions of security, and promote the citizen security of the people living within that state. The SGAP Framework draws on international best practices, international treaties and declarations; it is built on the latest in academic and

practitioner thinking on security management and policy and security sector reform. SGAP was influenced by many existing security assessment frameworks and inputs from consultations with a diverse group of experts and development practitioners from around the world who are working to improve the way their security sector functions. These included more than 100 local and national civil society leaders, elected and career government representatives, international organizations and donors, leading experts in security sector reform and citizen security, and those in uniform including both military and police from Liberia, Mexico, Nigeria, Sierra Leone, Yemen and the United States. As a result of this inclusive process, the SGAP framework is designed to meet the practical assessment and planning needs of these leaders from the very beginning and specifically to help users to identify windows of opportunity to improve their security system's ability to both ensure stability of the state while also promoting citizen security.

The purpose of SGAP is **to guide assessment and planning around improvements to the security sector and the broader security system**. SGAP provides local and national civil society and government leaders, and members of security services a foundation for security policy-making that promotes a comprehensive planning strategy. The tool also provides a framework for monitoring implementation as reform initiatives evolve.

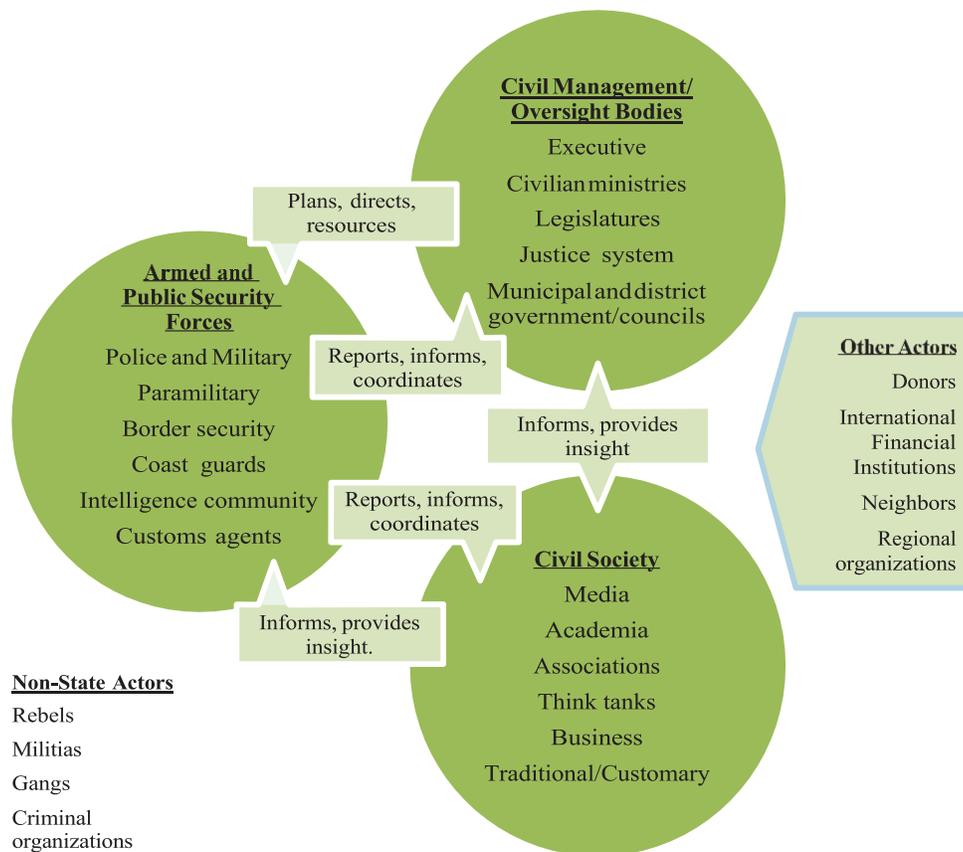
PartnersGlobal believes that security system reforms should be:

Comprehensive, reviewing the security system as a whole for areas of potential weakness and strength to build upon. The terms “security sector” and “security system” are both used in the SGAP Toolkit or the purposes of SGAP, the security sector should be understood as state actors, including both state security providers and government security management and oversight bodies. Members of the justice system are included to the extent that they play a direct role in the functioning of the rest of the security sector. Rule of law reform is inextricably linked to any effort to improve the functioning of the security sector, but the SGAP Framework only focuses on a limited aspect of the overall considerations in rule of law reform. Additional justice sector and rule of law reform resources are provided.

In the SGAP Guide, “security system” is used to describe a broader group of actors that encompasses the security sector but also includes a larger group of additional non-state actors. These include members of both formal and informal civil society, and non-state providers of justice and security services (see diagram below). By considering the security system as a whole, SGAP users gain an understanding of the various roles and responsibilities each of these actors have and, ideally, identify opportunities for these various individuals and groups to work together to improve safety, security and stability. As a field, “security sector reform” has tended to focus primarily on the functioning of those in uniform. Needless to say, comprehensive and sustainable reform requires a broader understanding of the many actors and factors involved in the way security is maintained. In a well-functioning security system these actors would work together.

Inclusive, integrating the experiences and perspectives of a wide range of stakeholders, including civil society, government, security services, and others in order to ensure ongoing

support and promote sustainability of reforms. Institutional reforms too often fail because they lack local support or buy-in or are otherwise unsuited to a given context. This is particularly true in the case of improvements to security institutions, which are often developed in capital cities through the participation of a relatively small number of experts. **PartnersGlobal** believes that effective reform initiatives must secure input from all the major stakeholder groups, including those from civil society, the government, the security sector, and even the international community. In order to be successful, those whom the reform is meant to serve must be involved.



Transparent, so that the public understands any changes that might occur as a result, and are therefore better able to support those changes.

Recurring, happening on an ongoing basis so that the security system is able to respond effectively to ever-evolving contexts. “Reform” should be thought of as simply “adaptation,” a natural process that the security services are continually engaged in.

Audience

Most existing security sector assessment tools are directed at international audiences as part of a larger SSR or security assistance effort. While the SGAP Framework can be useful for these

international actors, it is **primarily intended for local and national actors from civil society, government, and the security sector**. SGAP is designed to help these local actors to assess the quality of their own security system and identify windows of opportunity to improve its functioning.

SGAP FRAMEWORK

The SGAP Framework provides an organized structure to assess the condition of any given security sector and the broader security system based on three categories: **Governance**, **Accountability**, and **Performance**.

Any government leader grappling with security challenges will have difficulty determining which reforms under these categories should come first. There is a tendency, particularly in countries experiencing violent conflict or lawlessness, to focus on the performance element – the security sector’s capacity to address immediate security challenges and ideally, contribute to improved stability. In countries emerging from conflict, reform necessarily focuses on improved accountability and redress for past abuses. After a political transition, a new administration may attempt to address perceived weaknesses in the governance of the security sector to ensure sufficient democratic control over the security services. New political leadership may favor tangible, short-term reforms to satisfy constituents and score political points, but often struggles to achieve more complex and politically contentious changes. Experience from previous reform efforts has shown that changes in one area always necessitate reforms in other areas. When leaders strive to take a more comprehensive approach to reform, they face significant tradeoffs in the allocation of resources, as well as challenges in navigating and reconciling divergent interests.

GOVERNANCE of the security sector is the process by which citizens and the state define security, public safety, and justice needs, and establish and implement laws and policies to address those needs. This process must include the proper allocation of resources, promote the rule of law and human rights norms, and result in professional, effective, legitimate and equitable institutions.

ACCOUNTABILITY of the security sector is the compliance of state security, public safety and justice actors with robust internal and external conduct review mechanisms as well as with the laws and policies governing their institutional missions; the transparency of these actors to the population they serve; and the ability of non-state actors (media, civil society organizations, and citizens) to publicize violations

PERFORMANCE of the security sector is the effective execution of the mandates of the various security, public safety and justice institutions as defined by the civilian leadership and accordance with domestic and international laws, policies, and regulations, in order to meet the various security, public safety, and justice needs of the population.

There are three main steps that should be taken to guide users through an SGAP process: 1) conducting a thorough context analysis and stakeholder map; 2) adopting the most appropriate strategy for implementation based on the outcomes of the preliminary analyses; and 3) applying the framework.

1. Preliminary Context Analysis and Stakeholder Map

Ultimate application and use of SGAP depends upon the particular context and opportunities available. Conducting a thorough context analysis — including both political economy and conflict factors — and a thorough context analysis and stakeholder mapping are essential first steps to ascertain the best use of SGAP.

One approach to determining if the time is ripe for reform is to conduct a **Governance and Political Economy Analysis** (GPEA). GPEA is a way to develop an understanding of the prevailing governance, political and economic processes in society⁵ before undertaking security reforms. The diagram on the next page illustrates the elements and considerations of GPEA.

An important first step in security reform is to identify aspects that seem to be working well and those that seem lacking. This can be especially challenging because security and security policy is a highly politicized issue. In any given country there are a diversity of stakeholders, needs, economic realities and regional differences. Identifying the relationships of power and economics through governance and political economy analysis and the factors and actors of conflict dynamics through a context analysis will be important elements in addressing this challenge.⁶ Additionally, those conducting analyses must identify their sources of knowledge – *how* they know what they know. A variety of sources for information and analysis will be most effective, including: first-hand knowledge, outsider perspectives, user perceptions, policy mandates and guidelines, and published data and reports.

Key stakeholders can be identified through a **Stakeholder Mapping & Analysis** exercise. Mapping is vital for understanding the potential political negotiations that will be necessary for productive reform planning. Key stakeholders include: public/civil servants (including government), uniformed personnel (formal state security forces and, potentially, non-state actors), civil society (including international actors), and multilateral organizations, allies, neighboring states, and others from the international community. Identifying “who” has an interest must be followed by identifying “why” they are interested.

When working through the SGAP process, understanding the diverse and often conflicting interests these four groups have with regards to security reform is vital for formulating appropriate initiatives. Security reform is not simply an objective assessment, but is fundamentally a political process.

2. Selecting an Implementation Strategy

In each context, opportunities to improve the way a security system functions will differ. The governance and political economy analysis, coupled with the stakeholder mapping and analysis,

will help reformers gain a better understanding of the context for their efforts. They are also useful for understanding when the circumstances are not ripe for a reform process.

Reformers can employ the SGAP Framework using a range of different strategies. The following section focuses on six key opportunities that can be undertaken individually or in combination – **to educate, to caucus, to dialogue, to assess, to plan and to monitor.**

EDUCATE: To impart knowledge and improve understanding

For various groups involved in security reform initiatives, whether from civil society, the security sector, or civilian government, there is likely to be a significant range of knowledge, understanding and perspectives on the governance, accountability and performance of the security system. Improving the knowledge and understanding of all the participants in a reform process can create a shared foundation for future collaboration. Education activities can also serve as an opportunity to develop a more sophisticated understanding of international standards, best practices, and a deeper understanding of participants' own security system. In some cases, it can support the rebalancing of power – from technocrats and subject matter experts to community leaders and citizens. Learning together can build trust, new relationships and improve understanding of the key issues in the reform process and opportunities to engage.

CAUCUS: To undertake discussions with a group united by shared interests

Caucusing provides an opportunity for a group of people with shared interests to engage in debate and discussion on issues of shared concern. Caucusing can be an opportunity to debate reform alternatives or solutions without fear of embarrassment or of losing face. These discussions can help members of a group to organize and inform themselves before engaging in debate with other stakeholders.

In practice, a caucusing activity can serve as an opportunity for likeminded stakeholders to formulate an advocacy strategy to advance their interests and develop a plan for negotiation before meeting with other parties. This can be particularly useful when there are a diversity of opinions and interests in the same stakeholder group – the interests of the police and the military for example or the interests of human rights organizations and civil society groups that prioritize law and order. Government agencies often use a caucusing approach to ensure alignment of goals and messages. Caucusing is a natural step in any negotiation however it can be problematic if it leads to extensive retrenchment or factionalism.

DIALOGUE: To exchange ideas and opinions among different parties

Engaging in dialogue with members of different stakeholder groups is an opportunity for debate and discussion. A fundamental goal for most dialogues among civil society, government and security sector actors is likely to be trust-building – although through dialogue participants can build consensus and identify shared interests across stakeholder groups. Well facilitated dialogue can begin to build the necessary political will and demand for reform that can be translated into reform options.

Such work takes significant time to prepare, and curtailing the needed trust-building will likely lead to an unsatisfactory process. Without appropriate trust-building, there may be an increased chance of spoilers, potential for damaged relationships which may threaten ongoing and future security provision, and suggestions or outcomes that are ultimately not feasible or sustainable. A primary purpose of this activity in a security reform process is the establishment of norms and expectations around the negotiations — that participation will not lead to retaliation or punitive actions. This is of particular concern to civil society stakeholders. Government and uniform leaders often want assurances that what is discussed in the negotiating room will not be made public unless agreed upon in advance.

ASSESS: To make a judgment about the value, size and importance of a topic

For reforms to be successful there needs to be an effort to develop a comprehensive understanding of the strengths and weaknesses of the entire security system. The SGAP Framework can be used by a small, focused research team or a larger working group tasked with developing a baseline understanding of the current conditions for security governance, accountability and performance to support an agenda for reform. An assessment may result in a full strategic security sector review or only focus on one aspect of the larger security system. No matter the goal it is crucial to develop a robust scope for the assessment - what will and will not be included. DCAF has developed a robust SSR Assessment methodology which provides a useful foundation for developing the scope and process of an assessment that can be carried out by external consultants or by internal experts.⁹ If the assessment purpose is to establish a baseline for comparison it is important to follow the guidance on assessment scoring, provided in the next step.

PLAN: To think about, discuss and arrange the details of a plan of action

Reform processes require a structure that relies on civilian ministries to undertake the planning and reform process. **PartnersGlobal** believes that the most successful planning processes are those that are inclusive, transparent and led by skilled facilitators. A process based on a strong foundation of mutual trust and a willingness to engage in productive dialogue has the greatest chance of success. SGAP provides reformers with a tool for promoting inclusion and comprehensiveness.

The purpose of a facilitated cooperative planning process is to address a specific issue, challenge, or opportunity with the intent of addressing, resolving or exploiting it through the collaborative efforts of all crucial stakeholders. The process is an opportunity to engage stakeholders in inclusive dialogue and debate leading to transparent decision-making and actions, where disagreements are managed and divergent interests can be reconciled. Through cooperative planning, participants demonstrate a willingness and ability to work with others to achieve a common goal for the welfare of the general public. In a cooperative planning process, all stakeholders have relevant experience, knowledge and information that ultimately will inform and improve the quality of the decision-making as well as any actions that may result.

Cooperative planning is most appropriate when an issue is complex, multiple parties are involved, and no agency or organization has complete jurisdiction over the solution to the problem.

MONITOR: To observe and evaluate plans and actions over a period of time

One of the weakest steps in a policy reform cycle is the monitoring and re-evaluation step. Reformers can lose momentum, funding can fail to materialize, other issues may take priority. Failing to monitor a plan for reforms, measure progress, make adjustments, celebrate and communicate successes can poison the field for future reform initiatives and harm the relationship among stakeholders. The SGAP Framework can be used for monitoring in at least two ways – to aid external monitors of an existing reform initiative to assess the strengths and weaknesses of the initiative, and as a tool to help planners develop a monitoring plan for their initiatives.

A civil society coalition could use the SGAP Framework to analyze the elements of a government formulated plan for reform and monitor a security sector reform initiative. Once the assessment has been completed and reform objectives developed, participants can create a timeline for re-evaluation. During re-evaluation, the progress markers agreed upon during the initial assessment will supplement the guiding questions. This will ensure that participants are evaluating progress toward reform not only based on the original concepts put forth by the SGAP Framework, but also based on their own objectives for reform. This will help stakeholders to measure progress over time.

To be credible and successful in the monitoring efforts, the groups would need to employ several of the strategies described previously to educate the coalition; engage in dialogue with government and security leaders; and assess the attributes of the reform plan as compared to the security governance, accountability and performance challenges facing the country.

3. Facilitating the Process with Guiding Questions and Scoring Matrix

The final step is to analyze the different elements to consider when discussing security reforms and identifying strengths and weaknesses of those elements that can then be prioritized and acted upon. The SGAP Framework divides the three main elements of Governance, Accountability and Performance into three sub-categories. These sub-categories are further divided into three secondary categories, for a total of 27 elements for assessment.

Within each of these 27 secondary components are a series of guiding questions. The guiding questions help users identify strengths and weaknesses of their security sector, and areas for potential reform. These guiding questions are not intended as measurable indicators. Instead, the guiding questions should be understood as key factors that users should consider when developing a thorough and nuanced understanding of their security system’s functioning.



While SGAP does not provide measurable indicators, the Framework does provide a scoring mechanism (see graphic below) that both helps users to identify strengths and weaknesses in their security system, and develop a baseline for monitoring progress towards improvements to the system.

An important feature of the SGAP scoring mechanism is that it helps users assess two aspects of their efforts to improve the way their security system functions — both the “approach” and the “implementation” of that approach. While most assessment frameworks focus on the “approach,” that is, “the plans, processes, programs, or other efforts [that] have been identified to develop or support a particular capability”² — SGAP also helps users assess the quality of the implementation of those approaches. Often, laws, policies, and other approaches reflect international best practices in theory but are not implemented in practice. By considering both approach and implementation for each sub-component, users will be able to better identify weaknesses in their reform process and address them accordingly.

Qualitative Indicator	QTY Indicator Range	Approach	Delivery	Comments and Remarks
NOMINAL	0-2	Some processes, policies, structures or procedures for achieving the ideal outcome may exist, but are largely absent. There are few efforts in place to address shortcomings or weaknesses.	Implementation of these policies, structures or procedures is highly limited and the quality of implementation is highly variable. Implementation is having a minimal effect on achieving the ideal outcome.	Efforts to reform are highly limited or nascent in nature. These efforts are likely dispersed and disconnected, with some individuals, units or other elements making efforts while others are not. May be a disconnect between effort at local and national levels. Policies, procedures, structures and capacities likely orient the security sector in support of the regime, often at the expense of the population.
MODEST	3-5	Basic structures, capacities, policies and processes exist. Efforts may yet be nascent, but clear attempts are being made to identify and rectify weaknesses.	Implementation occurs more regularly but is not consistent. Quality of implementation is variable and inconsistent, making limited contributions to the ideal outcome.	Efforts to achieve the ideal outcome are limited and inconsistent, but they do exist. Honest attempts are being made to understand and address weaknesses.
MODERATE	6-8	Organized activities supporting the ideal outcome are formalized and near comprehensive. They are supported by sufficient funding levels and human resources.	Implementation regularly occurs and often produces positive outcomes. Lingering challenges persist but efforts are being made to address them.	Efforts to achieve the ideal outcome are substantial and more consistently applied. These are professional and supported by a planning structure that is articulate and nearly comprehensive.
SIGNIFICANT	9-10	Structures, policies, processes and capacities are formalized, planned, funded, assessed and adjusted on an ongoing basis. Human resources are fully adequate, and strong training, recruitment and retention practices are in place.	Implementation is highly consistent and produces effective and efficient outcomes akin to the ideal. The security system is continually adapting and evolving to meet the needs of the population.	The security system is designed to support the civilian population as well as the state, and functions that way. The security services are highly functional and professional, and have the resources and capacities they need to perform their duties.

An important characteristic of the SGAP Framework is that it does not provide a prescriptive checklist. Instead, it is recognized that SSR is a complex process that varies significantly depending on the country or context. Although the framework provides guiding questions to consider during the initial assessment, these questions can be adapted accordingly based on user feedback. The example below provides an illustrative guiding questions assessment sheet that analyzes one of the sub-elements of **Governance: Institutional Mandates**.

Component 1. Governance							
Sub-Component 1.1 Institutional Mandates							
Secondary Component 1.1.1 Guiding Principles for Defense and Security, Public Safety and Justice							
Definition							
<i>Laws and policies outline the roles and responsibilities of security sector personnel and organizations (which include public safety and justice organizations) in relationship to the government and wider society. Roles and responsibilities of legislative and executive branches in security matters are outlined in the constitution and related laws. The laws governing the security sector are must be known by both personnel and civilians, and effectively</i>							
Guiding Questions	Findings						
<ol style="list-style-type: none"> 1. What are the policies and laws regarding the roles and responsibilities of the security sector? 2. What does the constitution say about the provision for security, public safety and justice services? 3. To what extent does the constitution protect and encourage the democratic control of the security sector through civilian leadership? 4. To what extent does the constitution or other policies outline the roles and responsibilities of the executive and legislative branches in security management? Are there areas of overlap? To what extent are constitutional lawyers effective at reviewing contestations? 5. Through which documents are the roles and responsibilities of the various actors in the security, safety and justice services articulated? 6. How do citizens, government or security personnel access such policy documents? 7. What efforts exist for the security sector and civilians to be made aware of policies regarding the roles and responsibilities of the security sector? 8. What training is available for the security sector and civilians to be more knowledgeable about these policies? To what extent are these policies adhered to? 	<div style="text-align: center;"> <p>Findings from working groups or assessment team serve as a foundation for inter-sector dialogue on reform issues. Dialogue results in scoring, which informs goals and objectives for planning and reform initiatives.</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="padding: 2px;">Scoring:</td> <td style="padding: 2px;">Approach =</td> <td style="padding: 2px;">Delivery=</td> </tr> <tr> <td colspan="3" style="text-align: center; padding: 2px;">Goals & Objectives</td> </tr> </table> </div> <div style="text-align: center; margin-top: 20px;"> <p>Goals and objectives are progress markers that are assessed during the re-evaluation and supplement the guiding questions during a second phase of planning.</p> </div>	Scoring:	Approach =	Delivery=	Goals & Objectives		
Scoring:	Approach =	Delivery=					
Goals & Objectives							

NEXT STEPS FOR THE SGAP FRAMEWORK

The security reform process is complex. To successfully transform a security system into one that is well governed, accountable and highly performing requires a strong vision, a commitment over time, resources and the support of a range of actors. No matter how reformers choose to make use of the SGAP Framework they will be best served by creating an inclusive and comprehensive process that draws on the capacities and expertise of all stakeholders. With the SGAP Framework and Guide we have attempted to make sense of the challenging and complex topics of security governance, accountability and performance.

We can only measure the usefulness of this tool after reformers use it as part of their security reform activities – as an education tool or in support of caucusing and dialogue or in aid of assessment, planning, and monitoring efforts.

PartnersGlobal is committed to using the Framework and sharing the results. For more information, please visit: www.partnersglobal.org