External Evaluation of the Geneva Centres

Volume 1: Synthesis Report

FINAL REPORT | **MAY 2018**

UNIVERSALIA

Executive Summary

This evaluation report, prepared by Universalia Management Group (Universalia or the evaluation team), assesses the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF), collectively known as the Geneva Centres. This is the first volume of a six-volume report and should be read in tandem with the companion volumes focusing on each of the Centres individually. The evaluation is mandated by the Swiss Federal Parliament, through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch) and considers the OECD/DAC criteria of relevance, effectiveness, efficiency and sustainability of each Centre, as well as providing insights on the synergies between them. The purpose of the evaluation is to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023. The objectives of the evaluation were: to account for the activities and results of the GSCP, GICHD and DCAF between mid-2014 and mid-2017; and to contribute to internal learning and corporate development.

Methodology

The evaluation was framed by an evaluation matrix based on the questions outlined in the Terms of Reference, organized under the four OECD/DAC evaluation criteria. The evaluation team used a participatory and utilisation-focused approach and undertook: semi-structured interviews with 154 people; SWOT workshops with staff at each of the Centres; a document review of key internal documentation and related literature; two online surveys, one focused on gathering staff perspectives and the second focused on external stakeholder perspectives, with a total of 415 responses in all; in-country field missions to Ukraine and Mali and virtual field missions in

Tunisia and Lebanon. The limitations to this evaluation included the tight timeframe, the potential for stakeholder bias as all consulted external stakeholders were identified by the Centres themselves, selecting countries relevant to all Centres for field missions given that only DCAF has a permanent field presence, and finally, the fact that the Centres are at different moments in their corporate development.

Relevance

The Centres attach great importance to evaluating the needs in their respective fields. DCAF and GICHD both have Results-Based Management (RBM) systems in place to monitor and adapt to trends, needs and resources. GCSP has weekly, informal, 'horizon scanning' meetings. Each Centre has in-house regional expertise and language expertise and GICHD and DCAF have the capacity to deploy staff across the world. There is thematic alignment between the Centres' strategies and Swiss international policy objectives, reflecting a general consensus around Swiss priorities in humanitarian demining, Security Sector Reform/Governance (SSR/G) and security policy needs. However, the Centres have not had processes in place to systematically analyse or anticipate the needs of donors other than Switzlerand, although this is changing, particularly with the example of DCAF's most recent strategy.

Each of the Centres is perceived as a leading institution in their respective area of expertise. The reputation of each of the Centres is associated with Swiss values of neutrality and independence, which strengthen their relevance in the sensitive political fields in which they work. Stakeholders also highlighted the added-value of the highly-skilled, diverse and committed pool of experts and staff within each centre. The Centres also have a strong

track record of including gender in their programmes and policies, both thematically and operationally.

The Centres moved to a new working environment at the Maison de la Paix (MdP) from 2014 onwards. The facilities provide a pleasant working environment advantageously located in International Geneva. The move is viewed positively by most staff members across the Centres and is felt to have buoyed the efforts of each of the Centres to raise their respective international profiles: the Centres have placed an emphasis on developing capacities for external communications (DCAF and GICHD) or marketing (GCSP). The move to MdP and the closer proximity of the Centres' staff, as well as the incentives created by Swiss contributions, have also encouraged greater cooperation on programmatic activities: the Centres published a joint strategy for MdP and currently have 33 joint projects, served by a budget of CHF1.7 million from the Swiss Confederation. The potential for further synergies must be balanced with the recognition that there is a limit to how many initiatives three distinct organisations can meaningfully collaborate on. Synergies are best created from the bottom up.

Effectiveness

The Centres are all at different stages in their development. GICHD has generally good management processes, with a recently rationalised organisational structure and a clear strategic direction thanks to the development of strategic plans and the integration of RBM processes. GCSP has undergone a substantial process in management reform and strategic reorientation, developing an ambitious vision for 2020 that repositions the Centre as a dynamic, client-driven training institution. There is a high-level of satisfaction with the new structure and staff are eager to consolidate the changes and the gains made so as not to overstretch staff capacity. DCAF is in the midst of a major change management process that has standardised and professionalised management procedures, reorganised and consolidated the Centres Divisions and created a more unified organisation with a transparent strategic direction. This ongoing process requires time to see results. The Centres also demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP.

In terms of monitoring and reporting, GICHD has the most developed RBM system, which was simplified after a stocktaking exercise in 2016-2017. DCAF's RBM system became fully operational in 2017 after a two-year piloting process, culminating in a first ever Performance Report for 2016. GCSP has developed the tools of a monitoring system but there is no evidence of an integrated RBM system. The programmatic and fiduciary oversight of the Centres' activities by their governance structures are not as strong as they could be. GICHD has the strongest governance oversight, thanks to a small and engaged Foundation Council and an active Advisory Board, while GCSP and DCAF are working on ways to encourage more meaningful engagement from Council members.

The Centres have globally achieved their objectives. GICHD reports that seven out of nine strategy outcomes are on track to be achieved by the end of its 2018 strategic plan. GCSP has a wide variety of outputs, with a significant increase in the number of courses, including fee-paying courses, as well as an expanded and engaged alumni network and a rapidly developing Global Fellows Initiative. DCAF's first Performance Report (2016) shows that there has been important progress in monitoring results and achieving outcomes in providing legal and policy advice, and in building capacities at the institutional, society and individual level.

Efficiency

All three Centres have worked hard to diversify their financial sources, and all have surpassed the requirements set out in the Federal Dispatch. It is important to note that new

funding sources for the Centres are generally providing project funding, which is difficult to sustain and does not ensure the long-term viability of the Centres; the core support of Switzerland remains crucial. All the Centres' financial management and control procedures conform with national and international standards. GCSP has made noteworthy efficiencies during the evaluation period, reducing the cost of running courses while almost doubling the number of courses that it delivers. However, the core operating needs of all three Centres are strained and would benefit from investment, particularly in DCAF's Resources Department, GICHD's RBM staff position. The level of ambition of GCSP's Vision 2020 could test staff capacity in the future.

Sustainability

DCAF and GICHD's focus on working with national authorities and partners favours sustainable outcomes. GICHD is at the heart of national and international policy debates and standards setting through strong partnerships with key Implementation Support Units. DCAF is the only Centre with permanent field presence to sustain long-term operations, accompanying reform projects and working to create a sense of national ownership over SSR solutions. GCSP collects testimonies and comments from its Alumni network that demonstrate the value of its work for participants, their knowledge and their careers. The Centres are planning seriously for the future and all are making substantial efforts to diversify the sources of their funding and assessing what they need to meet the needs of the future.

Conclusions

Overall, the findings for the Centres are positive. Highly regarded by their donors, partners and peers, the Centres are seen as leaders in their respective fields. The Centres support Swiss strategic objectives and the move to the MdP has established a prestigious hub of activity in the heart of International Geneva. The synergies between the Centres are good

but the most fruitful collaborations are developed from the bottom up. Fiduciary, strategic and programmatic oversight from the Foundation Councils is modest and should be strengthened: GICHD provides a good example of a smaller, more engaged Foundation Council with a valuable Advisory Board. The nature of the working models of GICHD and DCAF, with a focus on working with national authorities and partners, supports the achievement of sustainable outcomes. GCSP's emphasis on education and training should also contribute to lasting change but there is little monitoring evidence to assure this. The Centres are all forward looking and have great potential for the next phase of their development. Overall, Swiss support – financial, in-kind and strategic – is crucial for the continuation of the Centres and their contribution to global security.

Recommendations

The Swiss Confederation

Recommendation 1:   As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.

Recommendation 2:   The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.

Recommendation 3:   The Swiss Confederation should stop funding "forced synergies" and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

The Foundation Councils

Recommendation 1:   Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve

strategic coherence, information sharing and reach.

Recommendation 2: The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.

Recommendation 3: The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

DCAF

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

GCSP

Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre

Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Recommendation 3: The SMT should consolidate the implementation of a Results-Based Management process.

Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

GICHD

Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to effectively support and continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.

Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.

Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of pilot decentralised regional teams (technical/policy/standards).

Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

3 Synthesis of findings for the three Centres

12.   This section summarises and synthesises the key findings for each of the Geneva Centres. For a more detailed assessment, please see the volume specific to each of the Centres: Volume 2 (DCAF), Volume 3 (GCSP) and Volume 4 (GICHD). Volume 5 provides details of the findings of the country vignettes. Appendices for this evaluation are in Volume 6.

3.1 Relevance

Finding 1:   The Centres succeed in staying abreast of and analysing the latest thematic trends and developments in their areas of expertise. However, the analysis of donor trends and strategic needs has not been carried out in a systematic manner. (EQ1.1)

13.   All three of the Centres have processes in place to ensure they remain up to date with the latest trends and developments in their respective sectors. DCAF and GICHD have both Results-Based Management (RBM) systems to monitor and adapt to trends, needs and resources. GCSP has weekly 'horizon scanning' meetings but these are not reported formally.

14.   Overall, the Centres attach great importance to evaluating the state of the world and the needs in their field of competence. Each Centre has in-house regional expertise, as well as language expertise. GICHD and DCAF can deploy staff in diverse contexts across the globe. DCAF's operations department is divided in six regional divisions; GICHD enhances its activities through regional cooperation programmes; and GCSP has developed a Regional Perspectives Programme to focus on regional challenges in some courses. GICHD undertakes an analysis of its operating environment before any strategic planning exercise. The Centre is also in constant contact with its Foundation Council Members and Bureau and participates in all relevant conferences in Geneva to keep up to date with emerging trends in the field of mine action and broader humanitarian-development sectors.

15.   While the Centres' work does respond to the needs of donors and of affected or beneficiary states, the Centres have not been systematic in analysing and anticipating donor needs and strategies – although this is changing at DCAF within the context of its change management process. GCSP's 2014-2020 strategic map sets out a competition diagram with 29 institutions providing Executive Education divided into seven categories but there is a need to strengthen the Centre's analysis of key topics that will support corporate development, with a more detailed analysis of the competitive environment over time. The Centre needs to strengthen its competition analysis and monitoring, as well as improving its capacity to define and analyse target audience needs in a systematic and detailed way.

16.   The evaluation period covers two GICHD strategies (2012-2014 and 2015-2018) that include an analysis of trends and developments in the field of mine action and how to respond to continuing needs in the sector needs. These documents do not contain sections dedicated explicitly to analysing donor trends and needs, though this was part of the planning process for the document. Additionally, GICHD

conducts regular bilateral consultations with donors and organises yearly seminars for donors to gain insights into the latest trends. In 2017 GICHD also began to implement its strategy towards developing partnerships with the private sector. The most recent DCAF strategy provides an example of how the Centres could be more strategic in thinking about the future needs of donors, setting out a DCAF approach and analysing donor trends. This was previously not the case at DCAF, which has been unsystematic and ad hoc in its approach to donor analysis.

Finding 2:   There is thematic alignment between the Centres' strategies and Swiss international policy objectives. (EQ1.2)

17.   In terms of policy objectives, all three Centres take Swiss international needs and interests into consideration. GICHD's strategies are clearly aligned with the objectives expressed by the Swiss Confederation in its two dispatches to Parliament, the framework agreements and the Swiss mine action strategy for 2016-2019. Within GCSP, Vision 2020 and the 2014-2010 Strategic map are strategically aligned with Swiss international security policy and priorities. When it comes to DCAF, the Centre's Strategies 2017-2019 is also in line with the expectations of the Swiss Confederation. In terms of regional focus and thematic expertise, the three Geneva Centres all answer Swiss interests.

18.   None of the periods covered by the Centres' strategies is currently aligned with the Swiss legislative period (2012-2015 and 2016-2019). Indeed, the strategies of the Centres are written before the renewal of the Swiss Federal Dispatches, suggesting that the content of the Dispatches is based on the strategies of the Centres, not the other way around. As such, while they are thematically aligned, it is unclear to what extent the needs expressed are those of the Swiss Confederation and Parliament or those of the Centres themselves. However, as long as Swiss officials approve the plan (such as through the Foundation Council and Bureau), the strategies reflect a consensus around what Swiss priorities will be.

Finding 3:   The Centres are perceived as important and leading institutions within their areas of expertise. (EQ1.3)

19.   Each of the Centres is perceived as a leading institution in its respective area of expertise. Both internal and external GICHD stakeholders recognised the unique role played by the Centre in humanitarian demining. DCAF is perceived to be at the forefront of the SSR/SSG policy and practice and plays a unique role in its field, with close relationships to diverse stakeholders, from national actors, to civil society to multinational companies. GCSP faces a more competitive environment but overall survey respondents and interviewees reported a high regard for the Centre's reputation, which is supported by a strong network of experts and alumni.

20.   The reputation of each of the Centres is associated with Swiss values of neutrality and independence, which strengthen their relevance in the sensitive political fields in which they work. Moreover, collected perceptions highlight the added-value of highly-skilled, diverse and committed pool of experts and staff. Over seventy percent of the external stakeholders consulted (who were made up of government partners, UN agencies, NGOs, regional organisations and donors who work with the Centres) agreed or strongly agreed with the statement that "the Centre is a leader in its field" in our online survey.

Figure 3.1   Positive perceptions of the Centres internationally

"The Centre is a leader in its field"
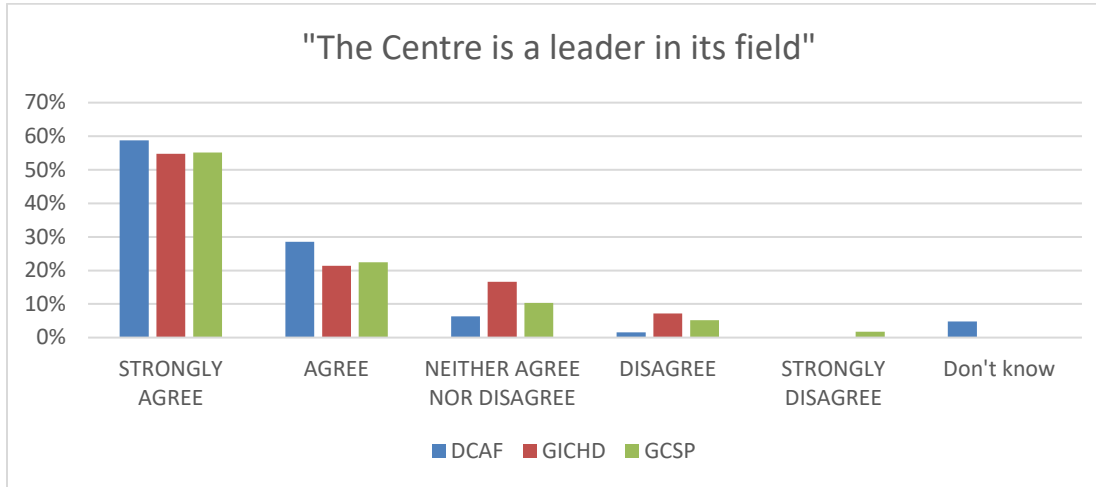
21.   An average of 88% of international respondents to each of the Centres' external stakeholders survey agreed or strongly agreed that the Centre they worked most with responded to their needs (95% in the case of DCAF, 80% for GICHD, 90% for GCSP). In a large majority of the written responses for DCAF and GICHD (83% and 80% respectively), stakeholders did not feel that there were any gaps in the scope of the respective Centres' work. Perceptions of GCSP were slightly lower at 68%, with stakeholders suggesting that the GCSP needed to develop presence in countries and regions to be more up to speed with the challenges and needs of their target customers.

22.   Over the evaluation period, a consensus grew at DCAF about the need to change the Centre's name to increase its relevance. DCAF staff were concerned that the current name causes misunderstandings about what the Centre does. Staff suggested that they keep the acronym of DCAF, which is recognised internationally, but change the name to the Geneva Centre for Security Sector Governance. The evaluation team understands that this re-branding process has begun with the Swiss Confederation.

Finding 4:	**The move to the Maison de la Paix has encouraged the Centres to raise their profiles both individually and collectively. Current joint initiatives would benefit from more visibility internally and externally. (EQ1.4)**

23.   The Maison de la Paix (MdP) was established to create a hub for Swiss institutions working on peace and security. The 2016-2019 Framework Credit establishes three missions for the MdP – to be a place to meet, reflect and act. The Centres took up residence in the MdP from 2014 onwards. The move is viewed positively by most staff members across the Centres and is felt to have encouraged and supported each of the Centres raise their profile in International Geneva and beyond. The facilities are impressive, have a pleasant atmosphere and working environment and are advantageously located close to other institutions in International Geneva.

24.   When it comes to sharpening their respective images within this shared environment, the Centres are making efforts to improve their visibility, external communications and sharpen their profiles with respect to each other. GICHD has developed a communication strategy implemented by the External Relations, Policy and Communications Department. This includes GICHD's visual identity and branding, monitoring of the Centre's presence in the media, organisation of internal and external events. DCAF recently hired a Communications Manager, which supports ongoing efforts on internal and external communications over the last 18 months. DCAF redesigned its website and invested in developing and

unifying its corporate brand. It has also translated publications into 50 languages, increasing its global reach. GCSP has developed a Resources Mobilization and Marketing Department, establishing a corporate approach to nurturing customer engagement and alumni outreach. This has led to the development of marketing tools, a major advertising campaign and a larger presence on social media and sharpened website content. For many staff at GCSP, the main issue within the MdP is not the potential competition with the other Centres but its relationship with the Graduate Institute Geneva (IHEID), which is seen internally as both an important partner and a potential competitor in Executive Education.

25.   While the Centres worked together long before the move (for instance on Information and Communications Technology (ICT) and RBM), collaboration on programmatic activities has been strengthened thanks to the move. Staff at all three Centres emphasised that the geographic proximity facilitates participation in joint meetings, events and trainings, as well as supporting staff networking and information sharing. Staff have a greater awareness of each other's work across the Centres and there is a better understanding of respective mandates and capacities, which makes it easier to identify opportunities for collaboration.

26.   Cooperation on activities has developed both from the top down, incentivised by Swiss contributions, and the bottom up, based on personal contacts between staff. In April 2016, the Centres developed a joint strategy *Maison de la Paix: Multiplying impact for the benefit of peace, security and sustainable development.* This document restates the three missions of the MdP outlined by the Framework Credit and sets out four streams of joint work based on the experience of existing collaboration. Each workstream contains a number of joint activities, not only between the three Centres but also with other organizations housed in the Maison de la Paix.

27.   The four workstreams are:

1)   Assisting partner countries in the implementation of the Sustainable Development Goals (SDGs), particularly SDG 16

2)   Improving RBM and other methodological approaches relevant to peacebuilding, security and sustainable development

3)   Supporting partners who face multiple risks from conventional weapons

4)   Defining responses to new security threats and the challenges of threat convergence.

28.   There is a fifth "Miscellaneous" stream that encompasses joint issues not covered by the above, such as the MdP website and outreach and awareness projects with young people in Geneva.

Table 3.1   Joint projects in the Maison de la Paix

YEAR	TOTAL NUMBER JOINT PROJECTS	TOTAL AMOUNT CHF
2016	25	2,145,487
2017	33	1,765,378

Source: Sourced from spreadsheets provided by Centres on Maison de la Paix – Joint Activities for 2016 and 2017. Figures are unaudited but provided in good faith. No figures were provided for 2014 and 2015.

29.   Joint activities are diverse and include:

- Research and practice Hubs, such as the SDG Hub or the Gender and Diversity in Peace and Security Hub
- Joint training, workshops and events
- A joint video competition for secondary schools through the Bâtisseurs de Paix initiative
- Joint peacebuilding platform
- Joint technical assistance, e.g. DCAF and GICHD work together in Ukraine (see below)
- A joint MdP website
- GCSP capitalises on the expertise in DCAF and GICHD for its courses and events.

30.   Full lists of joint activities in 2016 are available in Volume 6, Appendix XI. The figures show that spending on joint projects exceeds the CHF 1.4 million provided by Swiss core contributions for synergies. More cooperation between the centres is planned and DCAF and GICHD have developed a policy paper to guide their collaboration in 2018 onwards.

31.   GICHD and DCAF also collaborate in a partnership with the Organization for Security and Co-operation in Europe (OSCE) in Ukraine. This partnership means that the Centres can organise joint activities in Geneva and Kiev, as well as coordinating advisory missions and hosting Ukrainian delegations at the MdP. The Centres also have the freedom to conduct activities independently. Partnering with the OSCE provides both Centres with a link to the field, allowing them to work effectively on an "in and out" basis through ad hoc missions. This partnership is seen as vital to raising awareness about mine action and SSR in the country. There is no evidence of cooperation between the Centres in the other countries assessed for this evaluation, namely Mali, Lebanon and Tunisia.

32.   However, the potential for greater cooperation on programme activities must be balanced with the recognition that there is a limit to how many initiatives three distinct organisations can meaningfully collaborate on. Synergies are best created from the bottom up, initiated by staff who have a genuine interest in developing shared tools, activities and networks to further and strengthen their own work. GICHD's engagement with the Small Arms Survey on Ammunition Management provides a good example of how prospective joint initiatives could be developed between any Centre and other interested entities at the MdP. Current collaborative initiatives would benefit from more visibility internally and externally, rather than insisting on a larger quantity of shared activities and products at this stage.

Finding 5:   The Centres have a strong track record of including gender in their programmes and policies, both thematically and operationally. (EQ1.5)

33.   The Centres have a good reputation when it comes to incorporating gender considerations into their work and their practices. GICHD in particular has a strong internal policy and implementation roadmap on gender and diversity issues, while DCAF has its own division focused on gender and security activities and programming. On its side, GCSP is on-track to meet the Goals set by the Gender and Inclusive Security Cluster and the Director has promoted the Centre's role in the MdP Gender and Diversity Hub. Table 3.2 below summarises their approaches and activities.

Table 3.2   The integration of gender considerations in the Centres' policies, human resources and programming

CENTRE	INTERNAL GENDER POLICY	GENDER PARITY IN HUMAN RESOURCES	GENDER PROGRAMMING
DCAF	Yes, Gender Equality Policy adopted in 2014	Gender balance in staff at operational level; Senior Management Team (5 members) is 60% male and 40% female; Directing Board (27 members) is 60% male and 40% female	The Gender and Security Division is a stand-alone division undertaking gender-oriented activities, including training staff
GCSP	Yes	Gender balance in staff at operational level. 40% of Senior Management Team is female; Deputy Heads of programme and course directors of three long courses are women. 29% of participants in Global Fellows Initiative are female	Gender and Inclusive Security Cluster created in 2017, plans to mainstream gender in GCSP courses, the Centre has also committed to a Gender Panel Parity Pledge
GICHD	Yes, includes an action plan, plus monitoring and reporting on its implementation	Gender balance in staff at operational level. At the management level, one out of seven members are female	Gender Mine Action Programme, although this is currently a separate entity from GICHD

34.   The results of both the internal staff surveys and the external stakeholder surveys support the perception that the Centres have a strong track record on gender issues. More than 70% either agreed or strongly agreed that the Centres took gender considerations into account, as shown in Figure 3.2.

Figure 3.2   Internal and external perceptions of the integration of gender considerations in each of Centres' work

The Centres' work takes gender considerations into account

STRONGLY AGREE AGREE NEITHER AGREE NOR DISAGREE DISAGREE STRONGLY DISAGREE DON'T KNOW
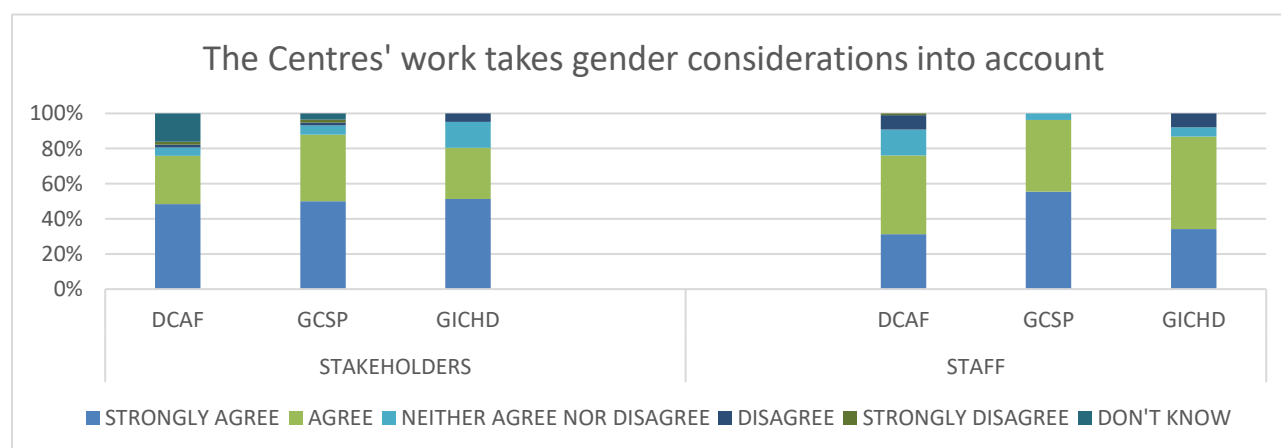
3.2   Effectiveness

Finding 6:   The Centres are at different stages of developing and consolidating their management processes and strategies. (EQ2.1, 2.3.2)

35.   Comparing the Centres' management processes is difficult because they are all at different stages in their development.

36.   GICHD has generally good management processes. Staff report a positive working environment and a perception that the current organisational structure has rationalised the division between strategic management and operations. GICHD has a clear strategic direction, thanks to the development of strategic plans (2012-2014 and 2015-2018) and the integration of an RBM system. Several mechanisms and processes are in place to share information internally but there are some concerns that internal communications could be strengthened. Data collection reported that more could be done to share information across the organisation and to clarify decision-making processes and the delegation of authority.

37.   GCSP has undergone a major process in management reform and strategic re-orientation over the evaluation period, with the appointment of a new Director in 2013. The Centre developed an ambitious vision for 2020. Staff have clear ownership over the strategy, with 82% agreeing or strongly agreeing that the strategic direction of the Centre is clear. The vision has been revolutionary and has repositioned the Centre as a dynamic, client-driven training organisation. However, the strategic changes have the potential to neglect traditional clients and the original mandate of the Centre. The Centre shows only a modest capacity to systematically analyse its competitive environment. Stakeholders identified an urgent need to improve the monitoring and analysis of the competitive environment in a more systematic way.

38.   Management at GCSP has been reformed and new departments have been created to support the new strategic vision and improve effectiveness. This includes the creation of a new Global Support Group to coordinate all administrative and logistical tasks related to events and courses, as well as the Resources Mobilisation and Marketing team. Those involved in developing and delivering courses have been given the independence to be entrepreneurial, setting their own fundraising objectives and strategies and identifying the needs and trends in their areas of expertise. Management processes are perceived to be clear, with general satisfaction on internal policies and guidelines. There is a high level of satisfaction with this current structure and staff are proud of the work they do at GCSP. In the wake of the Centre's rapid growth, GCSP staff believed that they Centre should work now to consolidate the gains made and not overstretch the capacity of staff to deliver high quality services. The key message was to do less and do it better.

39.   It is particularly difficult to evaluate the effectiveness of DCAF's management structures and processes because it is in the early stages of a major change management process. Up until 2016, the Centre's structure was highly centralised, with the Director taking on a large amount of personal responsibility. This was successful in establishing the Centre and supporting the development of quite independent, entrepreneurial divisions. It was not an adequate structure for the long-term sustainability of the Centre. There were few internal policies and standards vis-à-vis managing staff and their professional development, and there was no organisation-wide approach to monitoring, fundraising, reporting and decision-making. The process of identifying DCAF strategies was not transparent, led personally by the former Director and siloed between divisions.

40.   The process that began in January 2017 is an ambitious approach to standardising and professionalising the management processes of DCAF. So far, the process has established task teams to strengthen internal policies in areas like finance, human resources and external cooperation, with a timeline running until January 2019. It has also made important changes to the way it establishes its strategy and is beginning a process of consolidating a more unified strategic direction. The new process is a more consultative internal process to develop an organisation-wide strategy amongst the Heads of Divisions. The new strategy process is aimed at helping guide the annual work plan process and the RBM process across the organisation. It is too early to assess the effectiveness of the process and the ongoing process requires time and patience to bear fruit. Nevertheless, this inclusive, consultative and transparent process is an improvement on the prior closed process and the change management process has been a necessary step in professionalising the Centre.

Finding 7:   The Centres demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP. There are some additional areas where service contracts could be negotiated together but their utility depends on deeper investigation. (EQ2.1.5)

41.   The Geneva Centres have long collaborated with one another on both programmatic and administrative activities. The Centres have had shared ICT infrastructure since 2004, including a time when they were serviced on ICT, human resources, facilities and reception services by a joint Service Centre staffed by personnel from all three Centres, before the move to the MdP in 2014. This Service Centre was closed in 2015 and the Centres now pick and choose which shared services they participate in, mostly in ICT.

42.   Shared services for the 400 users across the three Centres are directed by a seven-person ICT team housed in GCSP and supported financially by Swiss core contributions set aside specifically for promoting synergies between the Centres. ICT collaborations are overseen by an IT Steering Group composed of two representatives from each Centre, chaired by the ICT Manager. The Steering Group met every 3 months in 2016 and on an ad hoc basis in 2017. It decides on joint policies and is the main unit used for consultations to analyse ICT needs and develop calls for tender.

43.   The services that can be supported by the ICT Department are detailed in a joint Service Catalogue. Not all services are shared across all three Centres. While all use the same operating systems, internet, email, communications and security services and hardware infrastructure, they differ on salary management, corporate social networks and photocopiers. For the most part, the service sharing works well, although the evaluation team heard of difficult cases where the Centres could not reach agreement on certain shared applications (such as joint accounting and human resources applications).

44.   It was unclear whether the Centres appreciate the added value of increasing these types of administrative synergies. Consultations suggested that they are concerned about merging too closely with the other Centres and are fearful of losing their identity and brand. The identity of each of the Centres can be preserved through their own communications, websites and branding, while sharing administrative and ICT services. A merger of the Centres should not be on the table. The Centres should not feel threatened by questions of administrative synergies. Such decisions should be driven by pragmatic questions of need and price. Interviews suggested that the Centres could in theory have joint contracts for hotels, travel agents, stationary suppliers, insurance, photocopiers, SwissSalary, postal services and archiving but emphasised that these were only potential leads that needed to be investigated first.

45.   Volume 6, Appendix XI provides details on the current services that are shared and to what extent.

Finding 8:   Though the implementation of Results-Based Management has progressed significantly, further consolidation is required. (EQ2.2, 4.2.2)

46.   The Centres have placed a great deal of effort into developing systems to monitor the results of their work and they are currently at different stages of implementing, adjusting and consolidating their experiences. All three Centres have monitoring systems based on the principles of Results-Based Management. The evaluation team recognises the challenge of monitoring the Centres' results, which are not always tangible or measurable in the short- or medium-term.

47.   GICHD has the most developed system. The process of integrating the new system has been challenging but is beginning to be a more positive experience after a stock-taking exercise led to a simplification of the tools and requirements on staff in 2016. The earlier version of the system was seen to impose a heavy technical and administrative burden on staff. It is too early to assess the success of the new system, but staff is generally positive about the new monitoring instruments that had been developed.

48.   The development of DCAF's RBM system in 2014 - 2015 was led by an internal Working Group with the support of external experts from SDC. The Working Group developed the tools to put the system into practice and supported the implementation of a two-year piloting process (2015 – 2016). The system became fully operational in 2017, integrating into a corporate-level RBM process to support accountability, strategic steering and the incorporation of lessons learned. It culminated in the development of DCAF's first ever annual Performance Report 2016, which was approved by the Foundation Council in May 2017 and was very positively received by DCAF's key donors. Staff acknowledge that the system has potential, although a minority (17% in the internal survey) critique the system for being too complex and administratively heavy. There continues to be discrepancies between Divisions on how well the system is used and applied.

49.   Measuring the impact of training and events is challenging. GCSP has developed the tools of a monitoring system but there is not any evidence of an integrated RBM system. The tools that do exist are not being used to provide a clear view of outcomes across the organisation. The monitoring of courses is done on a systematic basis but there is only ad hoc analysis of participants' comments and there is no evidence of standardised reporting or systematic follow up. GCSP's courses are certified by EduQua – a Swiss standard for adult continuing education institutions and an indicator of the quality of the services.

50.   The evaluation team heard concerns at all three Centres that the monitoring systems should support operations rather than being an administrative burden. RBM processes need to be fit for purpose within the capacity, goals and needs of the Centres and should not overtake the daily work of operational staff.

Finding 9:   The governance structures of the Centres are not altogether adequate for the effective implementation of their respective strategies. GICHD has the strongest governance oversight, thanks to the engagement of the Foundation Council and the existence of its Advisory Board. (EQ 2.3 and 2.4)

51.   Governance structures that are working sufficiently should provide strategic and fiduciary oversight, as well as supporting resource mobilisation and programme objectives. The evaluation found

that the Foundation Councils in general do not have an adequate level of engagement with the strategic direction of the Centres, as well as a low level of support for resource mobilisation and programmatic support like policy and political advocacy. GICHD's governance was found to be the strongest by far, in part thanks to the existence of GICHD's Advisory Board, which goes some way in plugging the gaps in strategic oversight and programme support. Even with the Advisory Board, however, the Foundation Council of the GICHD is more engaged with the strategic direction and fundraising of the Centre, providing a quarter of overall funding in 2016 (excluding Switzerland). More details are provided in Table 3.3.

Table 3.3   Overview of governance capacities of the Centres

GOVERNANCE ROLE	DCAF	GCSP	GICHD
Strategic	62-member states but little evidence that Foundation Council or Bureau provides strategic direction An International Advisory Board made up of 51 experts with close personal connections to the former Director has been put on hold to re-evaluate its main purpose and value	There is little evidence that the 52-member Foundation Council or Bureau provides strategic direction; all strategic decisions are made at Director level and are then confirmed by the Bureau and the wider Council. The council members lack the expertise that could strengthen GCSP's strategic direction in areas vital to the development of the Centre, such as executive education, academia, marketing, business development, fundraising or communications. There are no statutory term limits. The Foundation Council President will have held office for 20 years when he steps down in 2018	The Foundation Council has 25 members from donor and recipient countries. The Council is engaged in strategic and programme support for the Centre, providing constructive dialogue about strategy, policies and processes. The Council delegates most of its work to the Bureau. The Advisory Board provides advice to both the Foundation Council and Centre management, providing constructive feedback on GICHD strategies and annual work plans
Fiduciary	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention
Supportive	Little evidence that the Foundation Council or Bureau supports policy dialogue, political advocacy or fundraising	With 52-member states, the global outreach of the Foundation Council is significant. However, the support of members is modest	The Advisory Board is composed of experts from national and international mine action settings and ensure effective support to management and Foundation

GOVERNANCE ROLE	DCAF	GCSP	GICHD
			Council members
	Efforts have been made to change the format of the Foundation Council meetings, which have increased awareness of the Centre's services Foundation Council members other than Switzerland provide 27% of funding to the Centre (2016). With Switzerland, this number reaches 87%	Foundation Council members other than Switzerland provide just 1% of GCSP funding (2016). Seven-member states provide scholarships for course participants, while six countries consistently second staff	Nine Foundation Council members other than Switzerland provide 26% funding to the Centre (2016)

52.   The Foundation Councils are a symbolic part of being a Foundation under Swiss law and thus cannot be completely reformed without the agreement of the Founding Members. Nevertheless, the Foundation Councils need to function. This is not to say that they all must look the same. Each Centre should decide on how their Foundation Council will look, so long as it fulfils its role as a governance mechanism. For instance, while the wider Council may not provide an environment for the level of engagement required of a governance body, the Bureau could have increased participation to strengthen strategic and financial oversight, as well as programmatic support. Alternatively, active members of the Foundation Council could create a committee to do this work. Finally, the experience of GICHD suggests that an active Advisory Board is an asset to the Centre. Whichever model, the active governance body should not be involved in the day to day management of the Centre and should focus on the three high-level roles outlined above.

53.   Finally, there is currently a push from within DCAF to revise the Foundation's statutes and the evaluation found that GCSP's transformation merits reviewing the statute to ensure that it reflects the Centre's orientation towards Executive Education. The evaluation team understands that this is the responsibility of the Council of Foundation and that the Swiss Confederation has no formal role to play beyond instructing Swiss Council members on how to vote. Changes to the scope and purpose of the Centre requires the unanimous assent of the initial founders of the Centre. The Foundation Councils and the initial founders, as well as the Swiss Confederation, should work with the Centres to ensure that the provisions of their statues clarify their strategic orientations and align with the realities of the Centres' activities.

Finding 10:   The Centres have globally achieved their objectives. (EQ 2.5)

54.   Overall, the Centres are doing well to achieve their expected outcomes. Their differing mandates and objectives make it difficult to meaningfully compare them against each other because they each have their own approaches and challenges.

55.   GICHD has a clear monitoring and reporting framework that makes evaluating its progress towards defined outcomes relatively clear. Out of its nine strategy outcomes, seven are on track to be achieved by the end of its 2018 strategic plan. The Centre has supported the development of mine action strategies in target countries and has contributed to an increase in assessment scores for national mine action strategies in countries like Afghanistan and Sri Lanka. There is also a greater clarity on the extent and impact of explosive hazards, improved standards, methods and tools in mine action. National

Strategies to deal with residual contamination in target countries (such as Sri Lanka, Bosnia and Herzegovina, Cambodia and Zimbabwe) are approved or pending approval. Finally, GICHD has supported the integration of mine action into the human security agenda, collaborating with 19 human security actors in its most recent strategic period.

56.   GCSP has a wide variety of outputs but the monitoring and reporting of outcomes is less clear. The Centres' work is split into three streams: Executive education (70%), dialogue (20%) and policy analysis (10%). In the field of executive education, the Centre has substantially increased the number of courses it delivers, with a focus on developing fee-paying courses on new and diverse topics. Satisfaction with courses has remained positive. The Centre's alumni network has expanded, with increased engagement with the Centre beyond the provision of courses thanks to the development of a new online Alumni Portal and of regional promotional material for regional alumni Hubs. The rapid development of the GFI has been impressive: in 2017, 36 fellows ran 105 course modules. The GFI has incubated seven projects, including innovative programmes considering Media and Arts for Peace, Leadership courses for African Leaders and a project providing people travelling and working in hostile or volatile environments with geo-localised and mapped security information in real time (called Securaxis). The outcomes for dialogue and policy analysis activities are unclear, with only outputs monitored.

57.   DCAF's work is split into three streams: a) contributing to international policy development; b) supporting national partners; and c) supporting international partners, through bilateral donor assistance, or in the framework of cooperation with global or regional multilateral organisations. Overall, DCAF's first Performance Report (2016) shows that there has been important progress in monitoring results and achieving outcomes in providing legal and policy advice, and in building capacities at the institutional, society and individual level. DCAF has also increased its collaboration with UN and the international financial institutions, such as the World Bank and the Inter-American Development Bank since 2014, and formalising a cooperation agreement with the UN Department of Peacekeeping Operations in November 2016, supporting significant mandates related to: Guidance (UN technical guidance, drafting of key documents, field research, etc.); Policy Research (on the integration of ex-combatants into security institutions, the UN approach to defence sector reform); and field support. DCAF's outcomes on the ground develop gradually and the Centre is contributing to important reforms in key countries in which it works. In Mali, DCAF has deployed a flexible approach to capacity building and ensuring national ownership of tailored SSR solutions; in Lebanon, the Centre has supported projects in the Justice system, such as a parliamentary support programme, supporting the implementation of new laws and assuring responsibility for prison management. DCAF's work in Tunisia has strengthened the authorities' effectiveness and transparency.

58.   In Ukraine, the partnership between DCAF, GICHD and OSCE is reported to have contributed decisively to raising awareness about the mine contamination problem in the country with ministries, parliament and civil society. The Centres are recognised by stakeholders to be knowledgeable and trustworthy partners in country.

3.3   Efficiency

59.   Efficiency is the extent to which a programme has converted its resources (funds, expertise, time) economically to achieve the maximum possible outputs and outcomes with the minimum possible

inputs.[1] It is not possible to put a value on the outputs and outcomes achieved by the Centres' activities to build capacity, disseminate knowledge and provide technical assistance, as they are not readily quantifiable in monetary terms. Therefore, this section focuses on assessing aspects of the programme's cost-effectiveness, treating the outcomes as given and asking whether these could have been produced at lower cost.

> **Finding 11:** **The Centres are making clear efforts to diversify their financial sources and have met or surpassed their targets based on sources beyond the core funding from the FDFA. (EQ 3.1)**

60. Swiss core funding is a significant asset for the Centres. It provides them with security, supports medium to long term planning and provides a comfortable cushion for developing into new areas, being flexible to developing needs and to try innovations. All three Centres have worked hard to diversify their financial sources (see Table 3.4), in line with the requirements set out in the Federal Dispatch. However, the Dispatch contains a slight ambiguity, in that it does not make clear whether objectives for third party funding count all funding from Switzerland, including core and project funding, or if it is only applicable to the core funding from the FDFA. In general, the Centres interpret the objective as regulating the volume of Swiss core funding, as opposed to all Swiss sources. The table below considers shows the sources of funding for each of the Centres for 2016.

Table 3.4   Diversification of funding sources for the Centres (as of 2016 audited financial reports)

FUNDING SOURCES 2016	DCAF	GCSP	GICHD
Minimum threshold set by Swiss Federal Dispatch for third party funding	45%	15%	25%
Swiss Core funding from FDFA	47%	80%	61%
Swiss project funding	13%	7%	4%
Other member states and institutions funding	34%	10%	26%
Other income	6%	3%	9%
Total % of non-core funding	**53%**	**20%**	**39%**

61. In terms of diversifying their funding beyond the core support provided by Switzerland, all of the Centres have surpassed the threshold set for them in the Federal dispatch. It is important to note that new funding sources for the Centres are generally only providing project funding, which is difficult to sustain and does not ensure the long-term viability of the Centres. The core support of Switzerland remains crucial for the Centres, but it would be desirable in future Federal Dispatches to clarify the issue of whether the objectives for funding from third parties applies to only Core Swiss support or to all core and project funding from Switzerland.

62. All the Centres' financial management and control procedures are in conformity with national and international standards, according to successive audits over the evaluation period. Staff is generally

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[1] OECD/DAC. 2010. *Glossary of key terms in evaluation and Results Based Management*. Paris: Development Assistance Committee.

satisfied with the use of financial resources across the Centres, agreeing that their outputs were being achieved on time and that they could not have been achieved with less resources.

63.   GCSP has made noteworthy efficiencies during the evaluation period, reducing the cost of running courses while almost doubling the number of courses that it delivers. The creation of a Global Support Group in 2016, bringing together the administrative, logistical and support activities for running courses and events into an organisational hub have helped to improve administrative efficiency and reducing running costs. However, the increase in courses has not yet resulted in increased revenues: the development of fee-paying courses led to modest profits in 2015 and 2017 but made losses in 2014 and 2016. It is still early to conclude on the efficiency of this model.

Finding 12:   The core operating needs of all three Centres are strained and would benefit from investment (EQ3.2 and 3.3)

64.   However, the Centres are outgrowing their current capacities. This is particularly true in the case of the Human Resources and Finance units in DCAF, which are under strain to support the change management process over the next few years while also delivering on their day-to-day administrative tasks. At GCSP, the efficiencies made in reducing personnel costs, combined with the intensification of activities has left departments overstretched; staff reported that a lack of human resources is a key limiting factor in the effective delivery of their services and the SWOT workshops and interviewed identified a concern that GCSP may not be able to continue to deliver the same quality of services in the future if additional investment in personnel is not made. GICHD currently funds positions on RBM and coordinating IMAS at fifty percent, which the evaluation team finds to be insufficient for such important, wide-ranging roles.

3.4   Sustainability

Finding 13:   DCAF and GICHD's focus on working with national authorities and partners supports sustainability. GCSP faces challenges when measuring sustainability. (EQ4.1)

65.   GICHD concentrates on establishing national standards, policies and strategies, as well as its emphasis on working with local partners do lend themselves to creating long-term change. Strong partnerships and the hosting of the Secretariat of the International Mine Action Standards (IMAS), the Implementation Support Units for the Anti-personnel Mine Ban Convention (APMBC) and the Convention on Cluster Munitions (CCM) position GICHD at the heart of national and international policy debates to develop international standards. In Lebanon, GICHD works through a formal partner, the Lebanon Mine Action Centre (LMAC), which coordinates the management of the Arabic Regional Cooperation Programme. However, the Centre experiences some difficulty in measuring and ensuring the sustainability of their work due to the lack of in-country presence or a remote monitoring system.

66.   DCAF also invests in partnering with local actors. DCAF is the only Centre with permanent field presence to sustain long-term operations. In Tunisia, DCAF works closely with public institutions and national authorities to support local initiatives in the field of governance, justice and human rights. The Centre accompanies reform projects initiated by the Tunisian Government and local civil society organisations. In Mali, DCAF does not have a permanent field presence but sends its own experts "in and out" of the country to coordinate monitoring, evaluation, preparation and programme strategies. A

national expert stays on the ground to develop training and engage in policy dialogue. The Centre works with and convenes a diverse range of stakeholders, from national authorities to civil society and parliament to create a sense of national ownership of solutions to SSR challenges in the country. DCAF is praised for the way in which it listens to the needs of its interlocutors and how it tailors its own technical expertise to develop capacity-building activities adjusted to context-specific needs. National ownership and local capacity building are key to ensuring sustainability and long-lasting change.

67.   In Ukraine, both DCAF and GICHD work in partnership with the OSCE to keep mine action and SSR on the agenda as the Government of Ukraine confronts the internal conflict. The development of anti-mine legislation, as well as training and strategic planning supported by the Centres have equipped local partners with capacities and knowledge that will support them in the medium term. The Centres have focused on national ownership over policy solutions – such as the development of Ukrainian institutions – that will increase the sustainability of the work going forward.

68.   GCSP collects testimonies and comments from its Alumni network that demonstrate the value of its work for participants, their knowledge and their careers. However, the data is insufficient to provide evidence of long term, sustainable outcomes. Addressing sustainability in the field of education is complex and defining sustainable benefits in the areas of security policy and peacebuilding is difficult. The Centre needs specific professional tools for the evaluation of adults 'learning and development, which measure the changes in the participants' approaches and practices in the medium and long term as well as the sustainability of these changes. The evaluation of the sustainability of activities in terms of policy analysis and dialogue is also difficult to establish, in the absence of qualitative strategic orientations in these two areas as well as lack of analytical synthesis of their results.

Finding 14:	The Centres are planning for the future and there are numerous options going forward. DCAF is consolidating its current change process, GICHD is considering regionalisation and GCSP is at an opportune time to review the progress made under its new business model. (EQ 4.2)

69.   The Centres are thinking seriously about the future. All are making substantial efforts to diversify the sources of their funding, although securing core rather than project funding is challenging.

70.   The evaluation team heard from GICHD's stakeholders that there is a strong push for a regionalisation of the Centres' work, taking the Centres' experts closer to partners and constituents. Proposals to deploy "regional teams" (one policy expert, one technical expert) to be closer to where the clients are and more easily deployable have been raised for consideration. The lack of field presence makes some staff feel that they can be one step behind the advancements on the field, and lack of practical emerging experience and practise. Nevertheless, the Centre does have a regular presence in the field through the "in and out" approach and the on-going exchanges with field practitioners do provide opportunities to identify developments in mine action in the field.

71.   GSCP has an ambitious vision for its work up until 2020. It has undergone rapid changes in its business model and has transformed the way it approaches its work, becoming more agile and entrepreneurial, while retaining the same level of human and financial resources. The data shows persistent concerns that the organisation is facing threats to its effectiveness in terms of protecting the quality of its work and balancing its traditional clients with efforts to grow new ones. It is normal that radical reforms are met with some critique. The evaluation team heard that staff believed it would be prudent at this stage for the Centre to review the gains made under its new strategy and assess what adaptations would be necessary to ensure its sustainability, including working with Switzerland to

ensure that the Centre's statute reflects its new focus on Executive Education for a wider audience than was originally envisaged.

72.   DCAF is in the midst of a wide-ranging change management process that aims to consolidate capacities, processes and tools across its divisions and create a less siloed organisation. It has also formalised strategic planning, RBM and human resources processes at a corporate level to support the Centre meet the needs of its major stakeholders and be a more effective and efficient organisation in the future. During the evaluation, staff were hopeful about the potential of the organisation going forward.

4   Conclusions

73.   Overall, the findings for the Centres are positive. Highly regarded by their donors, partners and peers, the Centres are seen as leaders in their respective fields. Staff of the Centres are generally proud of their work and of their organisations. The Centres are three very different entities at diverging stages of institutional development. Comparing them meaningfully has its limits.

74.   The Centres support Swiss strategic objectives and the mandates for which they were established. There is already a review process for the DCAF statutes underway. Following the transformation of approach, GCSP would benefit from a renewal of their statutes and a clarification on what Switzerland wants to achieve through their support for the Centre. The Centres have all made notable efforts to diversify their sources of funding, but this could be further improved by a more strategic understanding of what donors want and what they are interested in funding. The Centres need Swiss core support to flourish. The governance of the Centres could be strengthened. The oversight provided by the Foundation Councils is modest in terms of strategic and fiduciary accountability and programme support is varied across the Centres. GICHD provides a good example of a smaller, more engaged Foundation Council with a valuable Advisory Board that offers support to the Council, Bureau and the management.

75.   The move to the MdP has been positive for the Centres, establishing a prestigious hub of activity at the heart of International Geneva. The Centres are, or have plans to, raise their games in terms of external communications and branding, in an effort to distinguish themselves and raise their respective profiles. Collaboration between the Centres is succeeding on certain common programme issues and activities. However, meaningful cooperation needs to be initiated from the bottom-up. The Centres have very different mandates, objectives and ways of working. There is a limit to how much they can be expected to have impactful joint projects that are more than the sum of their parts. Efficiencies made in administrative cooperation in terms of the ICT are good but there are issues with internal competition. The Centres can retain their respective identities and still have joint services. There is potential to investigate further joint efficiencies if this is desired.

76.   The development of solid RBM processes is complex and time consuming but ultimately valuable when done correctly. GICHD and DCAF have taken a pragmatic approach to the exercise, taking time to review progress and simplify existing systems (GICHD) or undertaking pilots before transitioning to a corporate-level system (DCAF). GCSP would benefit from a better developed system, with some monitoring tools in place but no comprehensive system to consolidate the Centres' results across its three work streams. All of the Centres report strong results, although the nature of their work favours monitoring on a longer-term basis. The nature of the working models of GICHD and DCAF, with a focus on working with national authorities and partners, also supports the achievement of sustainable outcomes. GCSP's emphasis on education and training should also contribute to lasting change but there is little monitoring evidence to assure this.

77.   The Centres are all forward looking and have great potential for the next phase of their development. DCAF is implementing its transformational change management process with the aim of developing "one DCAF" out of its historically separated divisions. GICHD is considering how to move forward in the next stage of its development, with the option of regionalisation as a potential future direction of the Centre and to develop its thematic scope into ammunition management and other related issues. GCSP has undergone a revolution in its internal approach and business model and should take stock of the progress it has made and how it intends to go forward. Overall, Swiss support – financial, in-kind and strategic – is crucial for the continuation of the Centres and their contribution to global security.

5   Recommendations

78.   The following recommendations address a number of key stakeholders in this evaluation: The Swiss Confederation, including the FDFA and the DDPS; each of the Centres' Foundation Councils; and respective teams and departments in each of the Centres' management structures. Each of the recommendations relates to at least one finding presented in the report and the relevant finding is listed below the recommendation. The recommendations for each of the Centres are based on the detailed findings presented in Volumes 2, 3, 4, and 5 (Vignettes), which have been summarised in this report.

79.   The recommendations are listed in terms of priority in each section prioritised in terms of whether they should be undertaking in the short-term (within the next year), medium-term (within the next two years) or long-term (within the next three to five years).

To the Swiss Confederation

80.   All of the following recommendations are of interest for the Centres and their respective lead Departments: the FDFA and the DDPS.

Recommendation 1:   As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.

Priority: Short-term

Finding: All findings presented in this report

81.   The Swiss Confederation has made significant investments in the Geneva Centres over the past twenty years. As part of the parliamentary process in the lead up to the forthcoming dispatch, the Swiss Confederation should consider how it wants to take these investments forward by preparing a shared vision with the Centres for the next ten years and whether it wants to continue or increase its funding to the Centres. A strategic workshop with each Centre and Swiss Confederation representatives could consider questions such as "where are we at?", "what did we achieve?" "what should we be doing?" and "is this still what we want?". This workshop should also not shy away from considering the implications of further diversification of funding sources, emerging needs and trends, Swiss engagements vs other international contributions, etc. It should also take seriously the proposals of the Centres for amendments to their strategic orientations and aim to reflect the realities and best practices of the Centres' activities.

Recommendation 2:   The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.

Priority: Short-term

Finding: 11

82.   The evaluation found that there was a lack of clarity on whether or not the objectives set out in the Federal Dispatch covered both core and project funding from Switzerland, or only core funding from the Confederation. The core support of Switzerland remains crucial for the Centres, but it would be desirable in future Federal Dispatches to clarify the issue of whether the objectives for funding from

third parties applies to only Core Swiss support or to all core and project funding from Switzerland. The meaning of this objective should be made explicit and only cover core funding so as not to limit the Centres' engagement with the Swiss Confederation as an important stakeholder with an interest in funding specific Centre projects that support its national interests now and, in the future.

Recommendation 3:   The Swiss Confederation should stop funding "forced synergies" and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

Priority: Short-term

Finding: 4

83.   Cooperation on programme activities among the three Centres cannot be enforced in a top-down approach. The most fruitful collaboration between the Centres has developed from the bottom-up, between staff who have identified needs in one Centre and see evidence of potential solutions in the work of another Centre. Switzerland should be patient in allowing the Centres to try and test new activities together in a collaborative and innovative manner and should not place too much emphasis on quotas for shared activities.

To the Foundation Councils

Recommendation 1:   Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve strategic coherence, information sharing and reach.

Priority: Short-term

Finding: 9

84.   The evidence suggests that the Foundation Councils of GCSP and DCAF are not as engaged as they should be and therefore not providing a strong mechanism for accountability. The Centres have reported that they are making efforts to reinvigorate the engagement of Foundation Council members through new meeting formats and other measures. Foundation Council members should be aware and be prepared to fulfil a stronger governance role, supporting the strategic orientation, financial oversight and support programme activities and fundraising.

Recommendation 2:   The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.

Priority: Short-term

Finding: 6, 8, 9, 11 and 14

85.   The Centres are planning for the future and need to have the support of the Foundation Councils and the Councils' initial founders   to do this properly. For instance, GICHD stakeholders reflected that in some countries, it would make sense to be partly decentralised in order to be more efficient and effective by reducing running costs and by closing the gap between GICHD staff and beneficiaries. The Centres are also moving forward on sharpening their respective brands and investigating whether they should widen their scope (e.g. GICHD), have radically changed their business model in a way that may require revising the Centre's statutes (GCSP), or undertaken an institution-wide change management process and initiated the revision of the Centre's statutes (DCAF). These internal reflections need the

support of the Swiss Confederation as they may require adjustments to the Centres' statutes, which will require the approval of the founding members of the Centres' respective Councils of Foundation.

Recommendation 3:   The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

Priority: Medium-term

Finding: 2 and 14

86.   The example of GICHD's Advisory Board suggests that access to independent expertise improves the quality of the oversight of the Centres' governance structures in terms of strategic and programmatic monitoring.

To DCAF

Recommendation 1:   The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities

Priority: Short-term

Finding: 9

87.   In line with the example of GICHD, an active Advisory Board can support the Centre's strategic direction and programme priorities. The Board could include experts in the fields of SSG/SSR who can act as a sounding board on content-related issues and ideas. It could support; the development of strategies and priorities that speak to the needs of donors, partners, clients and other stakeholders; ensure that DCAF strengths, expertise and human resources capacities are taken into consideration in decision-making processes; provide a space for feedback loops and for testing strategic ideas. (See also recommendation 5).

Recommendation 2:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Priority: short-term/on-going

Finding: 6, 10, 13

88.   The Director should speed up the process of recruitment of a new Head of Resources Department and ensure that this person has the appropriate resources and capacity to lead the department. In the immediate, short-term, the Head of Resources Department should work with the Director and the Human Resources Unit to ensure that Human Resources staff has adequate training to implement the new policy on Policy on the Protection of the Personal Integrity of Staff that provides grievance and redress mechanisms to address claims on discrimination and harassment. The Director and the Head of Resources Department should establish corrective action and due process for persons accused of committing harassment and work together with external experts on harassment when appropriate to ensure that all DCAF staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms. In the medium term the Head of Resources Department should to ensure that staff has adequate training to meet upcoming DCAF needs.

Recommendation 3:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Priority: Medium-term

Finding: 6

89.   The Finance Unit also requires investment. This could include the recruitment of a Financial Controller who is not linked to the Divisions and the recruitment of a project accountant or controller who can support the Divisions. The department should also establish a policy on financial reserves as a foundation to help ensure that any core funding cuts do not lead to an organisational crisis.

Recommendation 4:   The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Priority: Medium-term

Finding: 1, 9, 11

90.   The Centre should continue to develop its engagement with the Foundation Council and Bureau, including strategic consultations to move beyond one-way communication that opens avenues for fundraising opportunities and improves interaction on substantive activities. The Departments and Divisions can do more to support and share the analysis of donor needs to facilitate fundraising. This could be done within the potential new advisory board, or through an allocated focal point with the responsibility to collect and analyse data. The analysis could be integrated into the RBM system and should be designed to help with strategic fundraising processes and donor outreach. This should support DCAF to establish more proactive analysis of donor needs, strategies and trends and move away from simply a reactive approach.

To GCSP

Recommendation 1:   The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre

Priority: Short-term

Finding: 9

91.   GCSP needs to have oversight mechanisms that have the skills to be able to actively contribute to the Centre's strategy direction, outreach and fundraising. GCSP needs expertise in sectors that are vital to supporting its corporate development, including knowledge of executive education, business development, marketing and fundraising and financial oversight. These skills could be brought in through the creation of an advisory board, similar to that of GICHD.

Recommendation 2:   The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Priority: Short-term

Appendix I   List of findings

Finding 1:   The Centres succeed in staying abreast of and analysing the latest thematic trends and developments in their areas of expertise. However, the analysis of donor trends and strategic needs has not been carried out in a systematic manner. (EQ1.1)

Finding 2:   There is thematic alignment between the Centres' strategies and Swiss international policy objectives. (EQ1.2)

Finding 3:   The Centres are perceived as important and leading institutions within their areas of expertise. (EQ1.3)

Finding 4:   The move to the Maison de la Paix has encouraged the Centres to raise their profiles both individually and collectively. Current joint initiatives would benefit from more visibility internally and externally. (EQ1.4)

Finding 5:   The Centres have a strong track record of including gender in their programmes and policies, both thematically and operationally. (EQ1.5)

Finding 6:   The Centres are at different stages of developing and consolidating their management processes and strategies. (EQ2.1, 2.3.2)

Finding 7:   The Centres demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP. There are some additional areas where service contracts could be negotiated together but their utility depends on deeper investigation. (EQ2.1.5)

Finding 8:   Though the implementation of Results-Based Management has progressed significantly, further consolidation is required. (EQ2.2, 4.2.2)

Finding 9:   The governance structures of the Centres are not altogether adequate for the effective implementation of their respective strategies. GICHD has the strongest governance oversight, thanks to the engagement of the Foundation Council and the existence of its Advisory Board. (EQ 2.3 and 2.4)

Finding 10:   The Centres have globally achieved their objectives. (EQ 2.5)

Finding 11:   The Centres are making clear efforts to diversify their financial sources and have met or surpassed their targets based on sources beyond the core funding from the FDFA. (EQ 3.1)

Finding 12:   The core operating needs of all three Centres are strained and would benefit from investment (EQ3.2 and 3.3)

Finding 13:   DCAF and GICHD's focus on working with national authorities and partners supports sustainability. GCSP faces challenges when measuring sustainability. (EQ4.1)

Finding 14:   The Centres are planning for the future and there are numerous options going forward. DCAF is consolidating its current change process, GICHD is considering regionalisation and GCSP is at an opportune time to review the progress made under its new business model. (EQ 4.2)

Appendix II List of Recommendations

The Swiss Confederation

Recommendation 1:   As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.

Recommendation 2:   The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.

Recommendation 3:   The Swiss Confederation should stop funding "forced synergies" and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

The Foundation Councils

Recommendation 1:   Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve strategic coherence, information sharing and reach.

Recommendation 2:   The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.

Recommendation 3:   The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

DCAF

Recommendation 1:   The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities

Recommendation 2:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4:   The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

External evaluation of the Geneva Centres

Volume 2: Geneva Centre for the Democratic Control of the Armed Forces (DCAF)

FINAL REPORT | **MAY 2018**

UNIVERSALIA

Executive Summary

This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between 01-07.2014 and 30.06.2017 and supporting learning and the corporate development of the Centres. This volume focuses solely on the findings for DCAF. For details on the methodology used for the evaluation, or the evaluation's findings on the other Centres, please see Volumes 1, 3, 4, 5 and 6.

DCAF and operating context

DCAF is working in a global political context where issues related to fragility, security sector governance (SSG) and security sector reform (SSR) continue to be a high priority, particularly in the context of achieving the Sustainable Development Goals (SDGs). DCAF is dedicated to SDGs 5 on Gender Equality, 11 on Urban Safety and 16 on Peace, Justice and Strong Institutions. There is a growing proliferation of SSG/SSR needs in the fragile and conflict-affected contexts within which DCAF works. It is challenging for DCAF to operate safely in these contexts, based on the expertise, human, financial and field resources available, as well as its institutional restrictions as a foundation. Donor demands are often focused on short-term solutions and outputs, rather than outcomes, which often pose rapid deployment challenges as well reporting issues.

With 63 member states (including the Canton of Geneva) and 6 permanent observers, DCAF is the largest of the Geneva Centres based in the Maison de la Paix (MdP). DCAF is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders. Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for SSG and SSR.

DCAF was led by Ambassador Dr. Theodor Winkler from its inception in 2000 until June 2016, when the leadership went to Ambassador Thomas Guerber. The change of leadership and subsequent changes in governance, management and institutional structures is a very relevant issue and is taken into consideration. It takes into consideration the institution-wide change management process that was launched on the 1st of January 2017 to assess the organisation's capacities and limitations, to change the institutional structure and to invest in policies and processes that needed further development. The institutional structure of the organisation went through a complete reform in 2017 (Please see organigrams from 2014-2016 and from 1 January 2017 in Appendix III). This Evaluation of the three Geneva Centres analyses the organisation from 1 July 2014 – 30 June 2017 and thus covers these management transitions. This is perhaps the underlying challenge of the centre evaluation of

DCAF: it needs to take both the old issues and new reforms into account but that it remains too early to assess the implications of the change management process that have just started to be implemented. It will be the responsibility of the next evaluation of the three Centres (in 2022) to make a first assessment of the impacts and results of this reform process.

Findings regarding DCAF's relevance, effectiveness, efficiency and sustainability

The evaluation presents 16 Findings with regards to DCAF's relevance, effectiveness, efficiency and sustainability.

With regards to relevance, DCAF remains at the forefront of the SSG/SSR market and remains highly relevant in fragile and post-conflict contexts through its close relationships with different national actors, multinational companies, international organisations and donors. Areas of investment could include a more conflict sensitive approach to its activities and more coherence across divisions and projects. While DCAF is at the forefront of promoting gender and security abroad, there is further work to implement policies and standards to ensure internal staff gender equality, particularly at the management level. The strategies and activities of DCAF align with what is expressed by the Swiss Confederation Framework Agreement by making key efforts to implement an institutional change management process, implement a corporate level RBM system and development activities in the Maison de la Paix in collaboration with the other two centres.

With regards to effectiveness, there have been significant changes as the evaluation covers a time period within which there has been a change of leadership and the implementation of an institution-wide change management process. This has raised key areas of change such as: a need to clarify the capacity and role of the Foundation Council and Bureau; the need to re-evaluate DCAF's name and statutes; the implementation of the DCAF Regional and Thematic Strategies 2017-2019 to help guide strategic work; the implementation and consolidation of the institution-wide change management process through a new structure, policies and processes; the implementation of the RBM system and publication of DCAF's first Performance Report 2016; the relationship with international organisations such as the UN; the positioning of SSR in relation to the SDGs Agenda 2030. While staff seem to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-term perspective, such wide-ranging changes are also challenging for the staff to accommodate. At this stage, it remains too early to assess the fruits of these processes.

With regards to efficiency, DCAF receives both core funding and project funding with the majority of the core funding being covered by Switzerland. In addition to core funding, the Centre also receives project-based funding, staff secondments or in-kind contributions. They face challenges as many donors take a short-term approach to long-term security sector governance challenges and the wide range of donor monitoring and reporting requirements are extremely varied tend to focus on short-term results. There is an immediate need to invest in more human resource capacity in the Financial and Human Resources Units as they have not sufficiently evolved to meet the needs of an organisation that has undergone significant growth, development and expansion since its inception.

With regards to sustainability, the continued core funding of the Swiss Government (approximately 44.1-46.7% of total contributions between 2014 and 2017) is significant in helping to ensure that DCAF can maintain its financial sustainability. DCAF's efforts to diversify both its financial and core funding base will only help the foundation become more sustainable in the long-term. Its ongoing investment in its field presence and long-term relationships with national actors, local interlocutors and beneficiaries will help ensure that it has the capacity to sustain operations in fragile and

conflict-affected contexts and that it is able to monitor activities and implement a lessons-learned process.

Conclusions and recommendations

As an organisation, DCAF has undergone significant changes during the evaluation period (2014-2017). Due to these changes, DCAF remains highly relevant in its thematic expertise, core mandate and key offerings in terms of training, products and services. It remains true to its mission to commit to SSG/SSR and goals to have an impact in fragile and conflict-affected contexts with the development of long-term partnerships and relationships with local interlocutors on the ground.

The area in which the organisation has undergone the most change is with regards to its effectiveness as this is linked to the ongoing institutional change management process, its standards and policies, its staff recruitment and leadership, its RBM processes, its standardisation of ways of working and its decision-making processes both at the Department and Management levels. The results show that while investments are being made to improve the effectiveness of the organisation in a wide range of areas, the implementation and consolidation of the reforms are still in their early stages and it remains challenging to adequately assess their impacts. Here, it is integral that there is additional investment into, for example, the Resources Department to help ensure that they have adequate training and capacity to support the implementation of new policies and reforms at the corporate level.

In terms of the governance of the organisation, there are some questions related to the future role and responsibilities of the Foundation Council and Bureau of the Foundation Council to make the organisation more effective and strategic in its operations. Generally, a more strategic relationship with donors would be fruitful.

In terms of financial efficiency, the growth of the organisation begs for further diversification of funds that would help it become less dependent on Swiss core funding. At the same time, the organisation must be cautious not to implement so many different financial mechanisms that could lead to competition between departments instead of coherence.

DCAF works hard to be sustainable in its activities through ensuring that local partners receive tailor-made solutions and that their needs and demands are adequately met. Through its change management process, it appears to be planning for a future that is more sustainable, long-term, effective and relevant.

Summary recommendations to DCAF Headquarters

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Acronyms

CdP	Comité de Pilotage
DCAF	Geneva Centre for the Democratic Control of Armed Forces
DDR	Disarmament, Demobilisation and Reintegration
DPKO	United Nations Department of Peacekeeping Operations
DPPS	Federal Department for Defence, Civil Protection and Sport (Switzerland)
EESCCA	Eastern Europe, South Caucasus and Central Asia
EQ	Evaluation Question
EU	European Union
FC	Foundation Council
FDFA	Federal Department of Foreign Affairs (Switzerland)
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
IADB	Inter-American Development Bank
IO	International Organisation
ISSAT	International Security Sector Advisory Team
LAC	Latin America and the Caribbean
MdP	Maison de la Paix
M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
MNC	Multinational Companies
NATO	North Atlantic Treaty Organisation
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee

OIF	Organisation internationale de la Francophonie
PBSO	United Nations Peacebuilding Support Office
RBM	Results Based Management
SDC	Swiss Agency for Development Cooperation
SDGs	Sustainable Development Goals
SSA	Sub-Saharan Africa
SSE	South East Europe
SSG	Security Sector Governance
SSR	Security Sector Reform
StG	Steuergruppe
TFNA	Trust Fund for North Africa
TOR	Terms of Reference
UK	United Kingdom of Great Britain and Northern Ireland
UMG	Universalia Management Group
UN	United Nations
UNDP	United Nations Development Program
USA	United States of America

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1   Introduction

1.1   Context

1.   This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between 01-07.2014 and 30.06.2017 and supporting learning and the corporate development of the Centres. This volume focuses solely on the findings for DCAF. For details on the methodology used for the evaluation, or the evaluation's findings on the other Centres, please see Volumes 1, 3, 4, 5 and 6. The appendices related specifically to DCAF are appended to this report.

2.   DCAF is working in a global political context where issues related to fragility, security sector governance (SSG) and security sector reform (SSR) continue to be a high priority, particularly in the context of achieving the Sustainable Development Goals (SDGs). DCAF is dedicated to SDGs 5 on Gender Equality, 11 on Urban Safety and 16 on Peace, Justice and Strong Institutions. There is a growing proliferation of SSG/SSR needs in the fragile and conflict-affected contexts within which DCAF works. It is challenging for DCAF to operate safely in these contexts, based on the expertise, human, financial and field resources available, as well as its institutional restrictions as a foundation. Donor demands are often focused on short-term solutions and outputs, rather than outcomes, which often pose rapid deployment challenges as well reporting issues. There has also been an increase in the privatisation of development work and a proliferation of new organisations in SSR/SSG, such as private consultancy firms, that tend to do be more profit oriented in their approach rather than a focus on the public good. This could be complimentary but could also be competitive, particularly as DCAF has a lower capacity to compete in tendering processes than private firms.

1.2   About DCAF

3.   With 63-member states (including the Canton of Geneva) and 6 permanent observers, DCAF is the largest of the Geneva Centres based in the Maison de la Paix (MdP). DCAF is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders. Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for SSG and SSR.

4.   DCAF was led by Ambassador Dr Theodor Winkler from its inception in 2000 until June 2016, when the leadership went to Ambassador Thomas Guerber. The change of leadership and subsequent changes in governance, management and institutional structures is a very relevant issue and must be taken into consideration in all the four criteria stipulated in the evaluation, namely: Relevance, Effectiveness, Efficiency and Sustainability. Based on an assessment by the new Director that there were a number of identified deficiencies within the structure of the organisation, an institution-wide change management process was launched on the 1st of January 2017 to assess the organisation's capacities and limitations, to change the institutional structure and to invest in policies and processes that needed further development. The institutional structure of the organisation went through a complete reform in 2017 (Please see organigrams from 2014-2016 and from 1 January 2017 in Appendix III).

5.   This Evaluation of the three Geneva Centres analyses the organisation from 1 July 2014 – 30 June 2017 and thus covers these management transitions. This is perhaps the underlying challenge of the centre evaluation of DCAF: it needs to take both the old issues and new reforms into account but that it remains too early to assess the implications of the change management process that have just started to be implemented. It will be the responsibility of the next evaluation of the three Centres (in 2022) to make a first assessment of the impacts and results of this reform process.

6.   Since the launch of the change management process, the organisation has become focused around three key areas of work, as reflected in the following Departments (for an overview of the changes to the organisational structure over the evaluation period, see Appendix III):

1) Policy and Research: Through its policy and research function, DCAF contributes to international discourses on development, peace and security policy, as well as to norms, standards and good practices for improving security sector governance, with a strong emphasis on assisting international actors, particularly multilateral organisations. In addition to its generic focus on security sector governance and reform (SSG/R), DCAF's Policy and Research Department has outstanding expertise on two specific programmatic areas: gender and security and business and security.

2) Operations: Through its operational work DCAF supports states to design and implement inclusive and participatory reforms aimed at enhancing the effectiveness and accountability of security provision. DCAF supports national partners in over 70 countries through providing policy and legal advice, support to institutional reforms to strengthen integrity, transparency, accountability and respect for human rights within the security and justice sectors; support to the development of effective parliamentary oversight and the development of inclusive national security policies and strategies; and support to build the capacity of civil society and independent oversight bodies. DCAF does this mainly through its six regional divisions with a focus on South East Europe; Middle East and North Africa (MENA); Sub-Saharan Africa; Eastern Europe, South Caucasus, Central Asia; Asia Pacific, and; Latin America & Caribbean) as well as strategic and local field offices (Brussels, Ljubljana, Beirut, Ramallah, Tripoli, Tunis).

3) International Security Sector Advisory Team (ISSAT): provides practical support to the international community in its efforts to improve security and justice, primarily in conflict-affected and fragile states. It does this by working with a group of member states and institutions to develop and promote good security and justice reform practices and principles, and by helping its Members to build their capacity to support national and regional security and justice reform processes through field advisory services; professional development and training; and the development and outreach of knowledge services.

7.   Like the other two Geneva Centres, the majority of DCAF funding comes from Switzerland with 47% of its total budget through both core and project funding (See Table 1.1 below).

Table 1.1   DCAF at a glance[1]

	DCAF
Year established	2000
Swiss core contribution (core and project funding) as % of total budget	47%
Role	Security Sector Governance and Reform
Donors (Organisations)	3
Donors (Country, including Switzerland)	26
Annual budget	CHF 24,787,335 (2016 operating expenditure)
# of staff	171 (59% women, 41% men); over 40 nationalities
# of members in Foundation Council	63member states + 6 permanent observers
# of members in advisory board	NA

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[1] Values are as of 2017 unless otherwise stated.

2 Findings

2.1 Relevance

Finding 1: **DCAF is at the forefront of the SSG/SSR market and has a strong, credible reputation. The Centre's name may be an obstacle to further growth (EQ1.1, 1.3)**

8.   DCAF is at the forefront of the SSG/SSR market and remains highly relevant in fragile and post-conflict contexts through its close relationships with national actors (including government bodies such as security and justice actor agencies, ministries that manage the services that security and justice actors provide, as well as different state and non-state oversight bodies including parliaments, national human rights commissions, ombudsmen, civil society and the media), as well as multinational companies (MNCs), international organisations (IOs) and donors. Its field presence means that DCAF has the capacity to sustain long-term operations in countries and has a reputation as a credible, trusted partner with good access to information. The data shows that DCAF has a unique organisational focus and profile thanks to its emphasis on local ownership, its convening power and its reputation as an 'honest broker' due to its connection to Switzerland and Swiss values of neutrality and impartiality. External stakeholders were globally positive about the continuing relevance of DCAF. For 88% of the respondents, the Centre is a leader in its field, 95% estimate the Centre responds to their needs and 87% think DCAF does not duplicate the work of other organisations.

9.   DCAF has visibly increased the relevance of its services over the last 18 months through more strategic internal and external communication, an improved website and investments in mainstreaming their corporate brand. The Centre has used the implementation of an RBM process, the institutional reform and change management process to identify ways to help ensure that they are more strategic and that they remain focused on consolidating their identified priorities. However, activities that focus on looking forward are still being developed. These processes have helped ensure that DCAF is more strategic generally, and that it remains a relevant, niche actor in its field of SSG/SSR specifically. DCAF has a strong base of networks, partners, donors and recipient states, developing long-term relationships (over 15 years) with some donors and good links to multilaterals.

10.   There are some areas for improvement in the relevance of DCAF's work. Staff were concerned that DCAF's name had a negative impact on its perceived relevance, triggering the wrong connotation that the organisation is dedicated to hard security and a military approach. Staff consistently suggested that they keep the acronym of DCAF, which is recognised internationally, but change the name to the Geneva Centre for Security Sector Governance. They hope that the new name will orient them towards being an organisation dedicated to issues such as governance and development. In addition, the legal personality of the foundation in Switzerland can have an impact on how they are perceived by partners, the protections and status they are given in the field and the types of EU funding they can access. Another challenge is in the location of the DCAF offices in Geneva, which has high overheads and constraining labour laws that make it challenging to obtain work permits for non-Swiss and non-EU candidates.

11.   With regards to DCAF's regional focus, the DCAF internal staff survey suggested specific areas with the potential for further growth and development. This included suggestions that the Centre could include more research and studies on: SSG in Asian countries and the SSR work of Asian parliaments; Human rights and especially on torture in different contexts; SSG/SSR in Latin America; Exchanges and peer learning

among the regions covered by its operations; exchanges of know-how not only between consolidated democracies (e.g. EU, U.S. etc.) and the rest of world, but also between regions like SEE and Eastern Europe, or SEE and Latin America etc.; the work on developments in the EU and Europe should be continued as the democratic control of security institutions is weakening under populist threat and increased securitisation. External stakeholders also suggested that the Centre could further strengthen coordination between governmental and jurisdiction agencies, its field presence and increase its resources.

Finding 2:   DCAF has relevant experience working in fragile and conflict contexts but could further invest in its conflict sensitive approach and ensure coherence across divisions and projects (EQ1.1, 1.3)

12.   DCAF has experience working in fragile contexts, particularly with national actors and have a high capacity to deploy teams to the ground. The Centre has in-house content expertise from many different contexts as well as language expertise. Its publications have been published in over 50 languages which make the Centre's work not only relevant but also accessible to local partners and contexts. From an external perspective, 73% of survey respondents are convinced that DCAF is equipped to work in fragile states. However, there is not yet a corporate level approach to analysing conflict sensitivity. This is currently done at the project level to varying degrees by continuously engaging with partners on the ground to measure success and changes in the context. The incorporation of conflict analysis in projects often depends on donor expectations. For example, thorough conflict analysis took place prior to engaging in Myanmar and prior to mandate implementation for EU projects and Canadian-funded projects. There are plans to mainstream conflict sensitivity at the project level by making it part of the project management cycle in the future, but it is not foreseen that this is something that needs to be implemented at the corporate level.

13.   The Centre's increased work in conflict contexts has inspired the development and mainstreaming of a travel security policy and system over the past two years. This includes a collaboration with SOS International for support for risk assessments and when needed medical or other guidance on evacuation etc., the guidance of a safety advisor at the corporate level to help organise security briefings on sensitive contexts prior to travel, the appointment division security officers at the division and project level. However, here too, some divisions are more advanced than others. For example, ISSAT has a thorough pre-, during and post-mission lesson learning that includes After Action Reviews (and how these are fed into new mandates) and Travel Risk Assessments, daily updates and hot wash-ups on return. Due to DCAF's activities in fragile and conflict-affected contexts, recent efforts have been made to ensure that the travel security system policy is mainstreamed through a travel risk assessment which is signed off by Divisional Security Officer, Head of Division, Head of Department and if it includes a high-risk destination, by the Director.

Finding 3:   While Gender and Security has become an increasingly important thematic area, there is work to be done to ensure staff gender diversity at the management level (EQ1.5)

14.   The Gender and Security Division was established as an independent unit on January 1, 2017, separating it from the Sub-Saharan Africa unit, where it was formally hosted, and giving it a seat at the Directing Board's table. It was a significant signal for the institutional commitment to Gender and Security. This has allowed for better focus and clearer communication to donors and partners about the area of expertise while also increasing DCAF's credibility. Gender and Security was highlighted as a key thematic priority in the DCAF Regional and Thematic Strategies 2016-2019 with a focus on integrating the

complementary approaches of gender mainstreaming and gender-specific programming. There is a DCAF Focal Point who leads activities on this issue in collaboration with partners such as the United Nations SDG Hub.

15.　　Efforts have also been made to mainstream gender and diversity within the organisation. There has been internal mainstreaming on the topic, such as introductory courses for new staff on Gender and Security and in 2017 the Directing Board received a half-day briefing on the topic. Based on internal staff survey results, gender and diversity considerations are perceived to be taken into account in Centre's training, operations and activities (31% strongly agree, 45% agree). From the external survey, respondents were particularly positive about the Centre's work to integrate gender considerations (75%) and the alignment of its work with current trends in the field (92%). DCAF has established guidelines on integrating gender and security into its programming. This includes a modes of cooperation paper between Operations and the Policy and Research Department which helps ensure that gender is considered at each juncture and within each programme, as well as within the regional and thematic strategies.

16.　　DCAF staff are diverse in three ways: gender; professional background and nationality. There has been some improvement in increasing gender diversity at the management levels since the new leadership. Currently, the DCAF Senior Management Team consists of two male and two female Heads of Department/ISSAT, in addition to the Director, who is male, which allows for a breakdown of 3 males (60%) and 2 females (40%). The Directing Board includes the Director, heads of department/ISSAT, deputy head of ISSAT, heads and deputies of divisions, heads of unit, and three advisors. The breakdown is: 16 males (60%) and 11 females (40%). Nevertheless, there are still areas where the engagement with gender considerations and human rights-based approaches could be strengthened. For instance, the data suggests a need to focus on more diversity in the staff from the Global South, particularly at the junior level. This would need to be accompanied by policies and processes to mitigate restrictions on work permits from non-EU countries.

17.　　DCAF is at the forefront of promoting Gender and Security abroad. To live up to its reputation, there is still some work to do to implement policies and standards that ensure internal staff gender equality, particularly at the management level.

Finding 4:	While DCAF has refined its strategic priorities and focus, there is a potential to use donors, the Foundation Council and Bureau in a more strategic way (EQ1.1, 1.2, 1.8)

18.　　The strategies and activities of DCAF align with what is expressed by the Swiss Confederation. When it comes to the Framework Agreement, DCAF is in line with expectations of the Swiss Confederation which has called for the organisation to: 1) adapt its management structures and governance in accordance with its size; 2) move towards a process that takes an overall focus on impacts and results at the thematic and institutional levels; and 3) further refine the profile of the Centres to create synergies as a result of their move to the new Maison de la Paix in Geneva in 2014. DCAF has made efforts to achieve these three demands through its: 1) implementation of an institutional reform process that included a strategy development process and led to the publication of Regional and Thematic Strategies 2017-2019 covering all of DCAF's activity areas; 2) the implementation of a corporate level RBM system; and 3) the development of activities in the Maison de la Paix in collaboration with the other two centres. According to the Swiss Foreign Policy Strategy 2016-2019, the four priorities of Switzerland are linked with DCAF activities, particularly when it comes to the promotion of the Sustainable Development Goals and Agenda 2030. In the case of DCAF, particular emphasis is placed on Goal 5: Gender Equality, Goal 11: Sustainable Cities and Communities and Goal 16: Peace and Justice Strong Institutions. In terms of regional priorities,

DCAF is also in line with Swiss regional interests. Specific areas of Swiss project funding for DCAF has included activities in contexts such as Honduras, Western Balkans and Myanmar.

Finding 5:   DCAF has used its position within the Maison de la Paix (MdP) to promote more synergies with the other Centres (EQ1.4)

19.   A number of changes that have been implemented through the change management process have had a positive impact DCAF's relationship with the MdP. For example, a better strategic focus of the organisation and improvement of internal procedures and processes to enhance effectiveness and efficiency, an increased focus on results, the prioritisation of communication, a new website, more engagement with the Foundation Council, more networking with traditional donors and expanding their donor base. It is a DCAF Strategic Priority (2016-2019) to "identify and make full use of partnerships, synergies and opportunities for cooperation within the Maison de la Paix, including […] GCSP and GICHD […]".

20.   The move to MdP is perceived by DCAF staff as both positive and negative. From the former, the physical move was a positive, strategic development to unify DCAF itself, which was previously spread around in different buildings in Geneva. It has given them a clearer sense of being a stronger, united "one DCAF" and has helped with internal communications and team-building. In terms of infrastructure, it provides the staff access to modern, well equipped offices as well as informal spaces for interaction. It has enabled more direct exchange between Divisions and with the Director. However, a minority of staff also responded that the building is an unhealthy work environment where people frequently complain about temperature, lighting and air quality.

21.   In terms of the location and synergies within MdP and outside, there were also mixed responses. Some claimed that the more strategic location provides DCAF with more positive visibility in Geneva and the geographic proximity to other relevant institutions (both within the MdP as well as other UN institutions) has contributed to: better communication and greater intra-organisational cooperation (work with other Centres in MdP including through the Gender Hub, Interpeace, Small Arms Survey); people's participation in cross-divisional meetings, events (Geneva Peace Week, Regional Breakfast series by the Geneva Peacebuilding Platform, etc.), joint trainings (RBM), joint publications and information sharing (especially on topics as Gender and the SDG's); ease of informal exchanges on specific topics or challenges; an environment of learning and experience sharing; more efficient time-management. In general, being part of the MdP gives DCAF staff a sense of being part of a wider engagement to promote peace and security and a growing community of policy and operational experts. There is a feeling of continued collaboration and a willingness to really be a "Centre of Excellence" in the MdP.

22.   However, according to internal staff survey results, it was also claimed that the potential for greater cooperation and synergies is far from maximised. While proximity helps, more efforts need to be made to capitalise on it to help fund such initiatives as most donors (with the exception of Switzerland, which has a stake in this particular outcome) are still not sufficiently interested in coordination and funding meta-studies and a true lessons identification process with a follow-on programme to adjust their own behaviour. The profiles of the three Centres are still very different from each other, distinct mandates and distinct capacities, which on the one hand ensures that they do not overlap in the services they provide, but on the other hand it also means that space for synergising activities is not always obvious. There is a need to create more visibility on the cooperation initiatives that already exists between the centres. There is still more to be done in terms of communicating within and in between the centres about the cooperation initiatives already undertaken and opportunities to explore.

2.2   Effectiveness

Finding 6:   The capacity of the Foundation Council and the Bureau require further clarification to ensure effective strategic oversight (EQ 2.3)

23.   The statutes of DCAF have not been modified since its inception, however a new process to do so has been launched by the Director in Autumn 2017 (after the period of evaluation). It was highlighted by staff interviews that there are several deficiencies built into the statutes that require review. For example, there have been questions raised on the roles, responsibilities and expectations of the Foundation Council and the Bureau. DCAF is making efforts to better utilise Foundation Council meetings to raise awareness within the Council itself of DCAF's expertise and services. The Centre is trying to diversify its funding base to other donor countries, member states and multilateral institutional to help raise its profile. There is a need to find ways to use the Foundation Council and the Bureau more effectively for fundraising and raising awareness.

24.   Under the previous Director, there existed an International Advisory Board of approximately 51 experts who had close personal and professional connections to the former Director and who last met in 2015. Since the coming in of Director Guerber, the Board was put on hold with the aim of re-evaluating its main purpose and value. While the re-creation of the Board has not been abandoned, it is not a priority now. There is consensus that a potential future Advisory Board should be smaller and more strategically oriented. This raises questions about whether it would make sense to either create a new board, or whether to re-visit the roles and responsibilities of the Bureau of the Foundation Council to serve DCAF in this advisory function in a more strategic manner.

25.   As a Foundation, there are particular legal restrictions that DCAF faces in regard to its operations abroad and the security of the international and local staff at the field offices. As DCAF is operating in fragile and conflict-affected contexts on issues that are highly sensitive, and its operational activities and staff should be protected under international and local labour and human rights laws, and that they have adequate security and evacuation policies in place. We consider these issues in our recommendations.

26.   Due to Swiss legislation on Foundations, it is relevant to note that any changes to DCAF statutes would need to be approved by the respective Council with a special quorum and need approval by the respective Supervisory Authority. Should DCAF require a revision of the scope or purpose in the Deed of the Foundation, it would require a unanimous decision of the initial 23 founders of DCAF.

Finding 7:   The strategic development process was key to helping the Centre sharpen its focus, set its key priorities and communicate its thematic and regional strategies (EQ2.1)

27.   Prior to January 2017, the process of identifying DCAF strategies was led by the former Director and was a less systematic process than is in place today. While they were perceived to have been developed in a less systematic manner, the strategies were perceived to have been aligned with the Framework Agreement with the Swiss Confederation. Also prior to January 2017, the process of identifying the ISSAT strategy was developed with its own Governing Board.

28.   After January 2017, the process of identifying and establishing the DCAF Regional and Thematic Strategies 2017-2019 was a much more thorough, consultative internal process that was delegated to Heads of Divisions. They were tasked with taking external needs and demands into account and designing a DCAF-wide strategy, rather than designing strategies for their individual Divisions. This helped to ensure

that the task was holistic and coherent at the corporate level. Through the review process, trend topics such as cyber security, migration and health and security were deprioritised, and more emphasis was placed on regions, such as Latin America and the Caribbean and the Sahel region. The strategy process took place from February to August 2017 and the new DCAF Regional and Thematic Strategies 2017-2019 were reviewed by the Bureau and then presented to the Foundation Council, in November 2017.

29.   DCAF Regional and Thematic Strategies 2017-2019 is aimed at helping guide the annual work plan process and providing a detailed account of results achieved at the outcome level through annual performance reports. However, the process is still ongoing and remains early to see the results. DCAF Regional and Thematic Strategies 2017-2019 identified three thematic strategies and six regional strategies, namely:

1) Contributing to the future SSG/SSR policy agenda

2) Gender and Security

3) Business and Security

4) South East Europe (SEE)

5) Middle East and North Africa region (MENA)

6) Sub-Saharan Africa (SSA)

7) Eastern Europe, South Caucasus and Central Asia (EESCCA)

8) Asia-Pacific

9) Latin America and the Caribbean (LAC).

30.   In addition, it is important to note that ISSAT is guided by a strategy and programme of work approved by its Governing Board, which was developed separately and runs until the end of 2019.

31.   Through the process of developing the DCAF Regional and Thematic Strategies 2017-2019, DCAF has made significant strides towards developing a much more focused strategy and placing emphasis on their core mandate and areas of expertise. Where there could be further strengthening is in the communication of these strategies to donors and other external stakeholders, as well as a more systematic consultation process of donors so that their needs and strategies are more effectively taken into consideration. Several interviewees in the Swiss government commended the new Director for abandoning thematic areas that they felt strayed from DCAF's core mandate and expertise, such as cyber security and migration. They felt that it was imperative that the Centre remain true to its niche expertise: in the field, in operations and in providing practical, applicable advisory services on SSG/SSR.

> **Finding 8:   DCAF's institutional reform process launched on 1 January 2017 has been a ground-breaking experience but it is too early to assess the impact (EQ2.1, 2.3.2)**

32.   The change of leadership in 2016 was significant in terms of the governance and management structures of the organisation. Based on interviews with both internal and external interlocutors, the positive elements of the pre-2016 structure was that it allowed for flexible, entrepreneurial, rapid growth and expansion of the Centre through a 'start-up' approach. The Director was well informed about what was taking place across the organisation and was a hands-on, charismatic leader who took a lot of

responsibility. From an institutional organisation perspective, the structure was seen as weak as it led to incoherence, less strategic focus and parallel ways of doing business. There were few accompanying policies, processes and corporate level standards vis-à-vis the growth and needs of the staff, changing donor demands and expectations, as well as the resources required to provide an increased range of products and services. The different Divisions were highly autonomous from one another due to their different financial tools and mechanisms, independent monitoring and reporting processes and lack of standardised or corporate-level decision-making processes, making it difficult to have a 'one DCAF' identity. Particular weaknesses were identified in the Human Resources Unit, internal and external communications, delegation of responsibilities, slow, unclear decision-making processes, financial management and planning.

33.   On the 1st of January 2017, the new Director, Ambassador Thomas Guerber launched an institution-wide reform process which greatly affected the foundation's management, institutional structure, policies and processes. The reform process is meant to assess strengths and weaknesses of the existing DCAF institutional structure, establish specific task teams to strengthen internal policies and processes in areas such as finances, human resources and cooperation. So far, organisational processes and task teams have been established with timelines until January 2019 to take corrective action on structural issues. Ongoing organisational reform needs time and patience to bear fruit. With the launch of the reforms, DCAF identified six key strategic vectors:

- ▪ Sharpening of strategic focus
- ▪ Achieving sustainable operational growth
- ▪ Developing effective internal systems and coherent policies
- ▪ Ensuring competent external communication and fundraising
- ▪ Broadening donor base and increasing core funding
- ▪ Improving governance arrangements.

Finding 9:   DCAF staff have a mixed level of satisfaction with the institutional reform process (EQ2.1, 2.3.2, 2.4)

34.   The reform process has been met with mixed reactions by the DCAF staff. Some see the reform process as a well-overdue, overwhelmingly positive process. Those that supported this view identified that while the structure under the previous leadership provided autonomy to different divisions, it did not necessarily help to create a coherent organisation with parallel capacities, financial sustainability and a clear overall strategy. Similarly, they argued that there was a need to invest in centralised management systems, human resources administration and mainstream policies and processes to ensure coherence across the organisation. Others expressed some concern that the institutional reform process should not overpower content of the organisation and create an over-bureaucratic organisation that is no longer able to be flexible, responsive and rapid in their ability to respond to donor needs. Some expressed fears that too much focus on policies and processes would deter from operational activities and priorities.

35.   Based on the DCAF staff survey, staff satisfaction with management and governance at DCAF is mixed. According to staff survey results, staffs are undecided about the outcomes of organisational changes for the effectiveness of the organisation (31% neither agree nor disagree that organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives; 37% agree and 16% strongly agree). While more than half either agree or strongly agree with the positive statements, there is around one fifth reporting that they neither agree nor disagree with the statements. This may simply reflect the transition period that DCAF is going through. Just over one third of respondents

disagreed (27% disagree and 9% strongly disagree) that there are adequate guidelines and policies to allow me to work efficiently. Similarly, over one third disagreed (26% disagree and 11% strongly disagree) that the strategic objectives of DCAF and their means of implementation are communicated clearly and effectively by senior management.

36.   Trends in the qualitative responses suggest that there are perceived issues with internal communications, coordination and dissatisfaction with management, although there is also a recognition that the organisation is going through a reform process. Overall, staff seem to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-term perspectives. With regards to specific improvements, some staff commented that there is improvement in how the Foundation Council has been used as it is more dynamic now. Further, many important steps have been made in improving the management and governance of the Centre. From a positive perspective, the reform process is ground-breaking in its approach to challenging previous discrepancies and addressing institutional reform in a holistic way. However, it is still too early to assess the fruits as the accompanying policies, guidelines and implementation of it are still missing.

37.   On the other side of the coin, there continues to be very critical voices within the staff who are concerned with the fact that despite reform efforts, there continues to be a lack of transparency and accountability on decision-making processes, including with regards to promotions and the complexity of the decision-making structure, as well as weak internal communications.

Finding 10: The newly established Results-based management (RBM) process is a well-integrated yet complex system of analysis to measure DCAF outcomes (EQ2.2)

38.   One of the recommendations of the 2014 independent evaluation of the three Geneva Centres, and endorsed in the framework credit for 2019-2019, was for DCAF to introduce a results-based management (RBM) system at the corporate level as a tool for tracking how the organisation contributes to change in a meaningful and measurable way. DCAF endorsed this in the 2015 Annual Report and adopted the approach in the DCAF Regional and Thematic Strategies 2017-2019. While the decision and launch of the RBM process was under the previous Director, the process continued with the piloting phases and final implementation under the current Director. In 2014, a regular dialogue at Directing Board meetings on RBM helped to consolidate ideas and provide a feedback platform. An Internal Working Group on RBM was established in 2014, led by the Research Division. The Working Group was supported by both internal expertise of DCAF staff as well as thorough external advisory support from RBM experts at the Swiss Agency for Development Cooperation (SDC) to help identify a theory of change, create a results framework, establish fields of observation and establish a two-year piloting process in 2015-2016. This included six regular joint RBM learning workshops between DCAF and SDC, with the seventh scheduled for June 2018. Additional human resources were acquired in May 2015 to support the piloting and implementation processes and to carry out ongoing research on monitoring and evaluation processes in relation to SSR. The result is that DCAF now has a systematic and thorough corporate-level RBM process in place to monitor results. The RBM process aimed to fulfil three main purposes:

1) Accountability: this has been fully ticked off through the creation of the system, the piloting process and the mainstreaming of it at the corporate level.

2) Strategic steering: this was implemented through the DCAF Regional and Thematic Strategies 2017-2019 but also the first ever DCAF Performance Report 2016 that helped to inform their annual work plans. However, there is still work to be done with regard to combining snapshots and trends and focusing on ways forward.

3) Lessons learned: This is seen as a key priority for 2018 to develop a corporate level system for capturing lessons learned. Until now, this has been ad hoc, anecdotal and informal through spaces such as brown bag lunches at the project level. It is worthy to note however, that learning does take place at the project and programme level of evaluations. For example, ISSAT has an institutionalised process of After Action Reviews for all of its mandates.

39.   With the RBM process becoming fully operational in 2017, specific tools and measures have been established to help assess the accuracy and progress of their strategy implementation. This includes a Corporate Results Framework, internal guidelines, questionnaires and other tools. The corporate results framework aims to respond to the question: "What have we achieved?" through the identification of Activity lines, Outputs, Immediate Outcomes, Intermediate Outcomes, Main Outcomes and Impact. Reporting then focuses on the lower two levels of immediate and intermediate outcomes. Based on these different instruments, DCAF was able to gather information at the corporate level and synthesize this performance information into its first ever annual Performance Report 2016, which provided an overview of programmes, projects and activities undertaken, and outlined the medium-term results that materialised. These efforts need to be acknowledged as a significant leap forward in an organisation that did not have a RBM system to speak of in the time of the 2014 evaluation. Thus, it aimed to enhance accountability and transparency towards national and international stakeholders with which DCAF partnered in the last year.

40.   Based on the staff survey, many respondents acknowledged that the RBM system has great potential. However, a minority - approximately 17% - critiqued the system, saying that it is too complex, theoretical, bureaucratically heavy, time consuming and still requires significant adjustments to respect local ownership processes. It was also seen as a marketing tool to help with DCAF's image and donor relations. These critiques show that RBM is perceived by some to be detached from the reality of their work. There continues to be discrepancy between Divisions on how well the RBM system is used and applied as well as to what extent divisional management and RBM focal points support the RBM process and encourage staff to attend RBM trainings. Nevertheless, as this observation came from the internal survey, we cannot know if these respondents were involved or not in the RBM process, but it was a significant number, enough for the evaluation team to warrant mentioning these criticisms in the report. Another gap that emerged from interviews is that the RBM system is not linked with financial reporting. It is a goal that the arrival of a new Head of Resources Department will take up this issue in the second half of 2018 I collaboration with the Finance Team.

Finding 11:   DCAF's first Performance Report 2016 shows important progress in monitoring results and achieving outcomes (EQ2.2)

41.   Over one third of staff strongly agree that the products and services provided by the centre are of a high standard. According to external survey results, stakeholders were positive about DCAF's effectiveness, agreeing that it has a clear strategic direction (43% strongly agree, 41% agree), that it coordinated well with its partners (52% strongly agree, 35% agree) and that it is effective in providing its services (87%).   As part of the implementation of the RBM process, DCAF published its first Performance Report in 2016. The Table 2.1 provides detailed information on key outcomes.

Table 2.1: Overview of DCAF Outcomes 2016

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
Creating knowledge products	DCAF's knowledge products have contributed to enhancing national and international partners' training initiatives	A CSO in Mali used the tools on political leadership and national ownership and civil society involvement in SSG/R from the ECOWAS *toolkit for Security Sector Reform and Governance in West Africa* that DCAF developed in the training local members as well as awareness raising in the Segou, Mopti and Timbuktu regions.
	DCAF's knowledge products have contributed to national partners developing legislation, policies and institutional structures based on insights gleaned from them, and to international partners relying on these products to inform support to SSR	Members of the South Korean parliament pooled annual resources to translate the DCAF toolkit on overseeing intelligence services in order to learn more about international good practices on intelligence oversight. They then used the Korean version of the toolkit to inform other parliamentarians on international good practices of democratic oversight of intelligence services when an anti-terrorism law was debated in parliament.
	DCAF's knowledge products have contributed to improving national and international partners' planning of initiatives aimed at strengthening SSG	SSG/R focal points in the OSCE used the guidelines on impact-oriented and cross- dimensional approaches to SSG/R that had been developed with the support of DCAF in the planning and design of new projects. The guidelines on impact-oriented approaches to SSG/R were used in particular to identify potential avenues for support to SSR in countries of the OSCE region and develop objectives that are linked to long-term rather than short-term results.
Promoting norms and good practices	DCAF's promotion of norms and good practices has contributed to increased cooperation between governmental and non-governmental stakeholders at the local and national levels, including more inclusive and participatory security policy-making.	In Liberia, DCAF's support to multi-stakeholder dialogues in selected border communities contributed to increased cooperation between community-based organisations, traditional authorities, local officials and security forces, as well as decisions being taken to improve public safety and security in those communities.
	DCAF's promotion of norms and good practices has contributed to increasing acceptance of the validity and significance of norms and good practices of SSR and an emerging normative commitment to abide by these international standards among national and international partners	DCAF's promotion of principles and good practices enshrined in the International Code of Conduct (ICoC) played a vital role in the further expansion of the membership of the International Code of Conduct Association (ICoCA). Civil society organisations, including those from the global South, private security companies and states have increasingly joined the ICoCA to enhance oversight of the private security industry and its compliance with international law and human rights.

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
	DCAF's promotion of norms and good practices has contributed to national partners adopting good practices and institutionalising international norms in legal, policy and institutional frameworks.	In Kosovo, DCAF's promotion of gender equality and integration of gender perspectives in its parliamentary assistance activities prompted the Assembly of Kosovo to establish a gender focal point within its security committee in 2016. The appointment of the focal point has translated into greater consideration of gender in the activities of the committee, built confidence in dealing with security stakeholders and increased the awareness of gender perspectives in discussions at plenary level.
Providing legal and policy advice	DCAF's advisory support has contributed to the development or amendment of legal frameworks and instruments governing national security sectors, as well as their initial implementation.	In Peru the national partner SUCAMEC developed a draft by-law to implement the 2015 private security law, along with a draft national code of conduct for private security companies in line with DCAF advice.
	DCAF's advisory support has contributed to national and international partners developing or revising policy frameworks and strategic plans related to SSR	In Bosnia and Herzegovina DCAF's advisory support to promote gender equality in the judiciary system reinforced the implementation of the Guidelines for the Prevention of Sexual and Gender-based Harassment within the Judicial Institutions of Bosnia and Herzegovina, which had been developed with the support of DCAF.
	DCAF's advisory support has contributed to the development of institutional structures and mechanisms to increase the effectiveness, transparency and accountability of national security sectors and international support to SSR	In the framework of an EU project led by the German Federal Police to improve border management in Southeast Europe, DCAF's policy advice contributed to the establishment of a regional network of Police and Customs Cooperation Centres. This network provides the basis for further aligning these centres across the region with EU standards for border and customs management.
Developing capacities		
Individual level	DCAF's individual capacity building has contributed to strengthening the delivery of professional training for security sector personnel in line with international standards and good practices by national partners	In the framework of support to police reform in Myanmar, DCAF's individual capacity building targeted at the senior management of the Myanmar Police Force contributed to the chief of police independently initiating and organising a series of training workshops on service-oriented policing that relied extensively on the draft code of ethics and police vision developed on the basis of DCAF advice in a prior police reform project.

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
	DCAF's individual capacity building has contributed to national partners starting to mainstream gender equality in the management of security services, with emerging changes in respect for gender equality among security institutions.	A researcher associated with the Civil Protection Services of Mali who had been trained by DCAF to collect information for the development of a gender survey of security institutions in the country was able to leverage his knowledge on the role of gender in the security sector successfully to advocate for a higher gender quota in the recruitment of new personnel for the Civil Protection Services. With 100 out of the 500 new recruits being women, the Civil Protection Services recruited the highest number of women in its history in 2016.
Institutional level	DCAF's capacity building at the institutional level has contributed to increased parliamentary oversight of national security sectors	The Intelligence Oversight Committee of the Assembly of the Republic of Macedonia conducted its first two pre- inspection monitoring visits to the Macedonian Security and Counterintelligence Service (UBK) and its Foreign Intelligence counterpart (AR) since early 2006, applying its enhanced knowledge and competencies acquired through joint meetings with DCAF experts.
	DCAF's institutional capacity building has contributed to national actors adopting or reinforcing transnational mechanisms and instruments to enhance border management and combat serious and organised crime.	In the framework of its Border Security Programme in Southeast Europe, DCAF's institutional capacity-building support enabled experts from partner countries to organise and execute common and coordinated cross-border police operations that were based on operational plans and an annual regional risk analysis developed with the support of DCAF.
Societal level	DCAF's capacity building at the societal level has contributed to civil society more effectively influencing security dialogue as well as the increased integration of civil society perspectives and expertise into national SSR processes.	In Tunisia, journalists who had been trained by DCAF on SSR, as well as basic methods and techniques of investigative journalism, published a number of articles covering issues related to the security sector, successfully applying their new knowledge and skills.
	DCAF's societal capacity building has contributed to strengthening the role of women in security policy-making at the local level.	In the framework of support to enhance SSG in Liberian border communities, DCAF capacity-building activities targeted at women's CSOs enabled women from Vahun District to advocate successfully for the assignment of a female police officer to their district. The assignment of the female police officer is expected to make police services more gender sensitive and increase the ability of local police to respond to sexual and gender-based violence.

Finding 12: DCAF has increased collaboration with the United Nations and is positioning SSR in the SDGs Agenda 2030 (EQ2.8)

42.   The Centre has increased its collaboration with the United Nations (UN) and the international financial institutions (IFIs) such as the World Bank, Inter-American Development Bank (IADB), etc. since 2014. There are many significant mandates that are related to: Guidance (UN Technical Guidance on SSR, drafting of key documents, field research etc.); policy research (on the integration of ex-combatants into security institutions, the UN approach to defence sector reform); and field support.t A formalised cooperation agreement was established with the UN Department of Peacekeeping Operations' (DPKO) SSR Unit in November 2016. Cooperation is on outreach, policy, research and guidance and field support and implementation of the UN's sustaining peace/prevention agenda from a SSR perspective. The deep personal and professional networks of the current Director, having lived and worked in New York for seven years, appears to be crucial in supporting DCAF-UN relations. There are other staff members that have worked in New York and at the UN specifically whose networks and relations also contribute to these DCAF-UN relations and activities.

43.   DCAF is positioning SSR in the area the SDGs Agenda 2030 by focusing on activities related to SDGs 5, 11 and 16. They do this through the overall theme of governance of SSR through inclusivity, democracy and direct reforms. On SDG 5 they have established a staff focal point person, are engaging with the UN/SDG Hub, and supporting seminars with the UN in Geneva. On SDG 11, they are supporting activities related to SSR for safer cities by supporting states. The Policy & Research Division collaborated with the Operational Division to develop a SSR paper on urban safety and is currently carrying out a dedicated policy research project, with the support of the FDFA. Regarding SDG 16, DCAF contributed to the Pathfinder's SDG16+ Initiative in 2017 and plans to further prioritise SDG 16 in 2018-2019. Staff survey results show that DCAF is positively contributing to the SDGs, implementing a holistic approach to SSR/G and increasing support to police and justice-related activities.

2.3   Efficiency

Finding 13:   DCAF has met the threshold for diversifying its funding sources (EQ 3.1)

44.   DCAF receives both core funding and project funding with the majority of the core funding being covered by Switzerland, with the support of other core donors such as Sweden. In addition to core funding, the Centre also receives project-based funding, staff secondments or in-kind contributions. As of figures from 2016, DCAF received 53% of its income from other sources, totalling approximately CHF 9,674,526 of its income (See Table 2.2 below).

Table 2.2   *Share of funds to DCAF by other donors[2]*

YEAR	TOTAL INCOME (CHF)	SWISS CORE CONTRIBUTION (CHF)	% OF CONTRIBUTIONS FROM OTHER SOURCES	OTHER SOURCES
2014	32,251,497	10,920,000	66%	EU DCAF, NATO, OIF, UN, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Denmark, Estonia, Finland, France, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Montenegro, Netherlands, Norway, Slovakia, Slovenia, Sweden, Switzerland (project funding), UK, US (USAID), others
2015	30,216,366	10,961,322	64%	EU, OIF, NATO, UN, Albania, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Denmark, Denmark through National Democratic Institute, Estonia, Finland, France, Germany, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Moldova, Montenegro, Netherlands, Norway, Romania, Slovakia, Slovenia, Sweden, Switzerland (project funding), UK, US, others
2016	24,025,076	11,250,679	53%	EU, OIF, NATO, UN, Albania, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Czech Republic, Denmark through NDI, Estonia, Finland, France, Germany, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Moldova, Montenegro, Netherlands, Norway, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland (project funding), UK, US, others
2017	Not yet available	Not yet available	Not yet available	Not yet available

45.   The organisation has experienced some fluctuation in donor support in the years covered by the evaluation. For example, interviews and data shows that while project funding went down by almost 10% between 2015 and 2016. The organisation also experienced a reduction in core funding from Switzerland and a very significant reduction in project funding from Norway in 2016 (See Table 2.2). Therefore, 2016 was a tough financial year, with an operating income lower than operating expenditure, a reduction of project funding and a lower operating result. However, efforts have been made in 2016 and 2017 to regulate these issues. Currently, the Centre has achieved 53% of 3rd party funding, well above its target of 45%. This objective is met largely through bringing in more project funding, which is not sustainable in the long-run as donor priorities change rapidly. Project funding from Switzerland on FDFA projects has also fluctuated from 2014-2017. It went down from 4.5 million in 2014 to 2.4 million in 2015, and then

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[2] All numbers taken from annual Financial Reports to the Council of Foundation (COF).

increased again to 3.1 million in 2016 and on to 3.13 million in 2017. As such, other efforts are being made to diversify their core and funding base. One new significant donor includes the George Soros Open Society Foundation (2017: 1 million over 2 years). As of 2017, there have also been requests made to new donor countries (such as Qatar, as well as requests for increases to Sweden, Norway and Germany).

46.   DCAF benefits from a range of different funding mechanisms and tools such as core funding, project funding, the Trust Fund for North Africa (TFNA), the International Security Sector Advisory Team (ISSAT) (See Table 2.3 below) as well as inter-divisional cost-recovery mechanisms to help distribute the core and project funding adequately across the organisation. While this financial diversity helps the organisation ensure that it can acquire 45% of third party funding, it also means that the departments continue to be fairly independent of one another. This also has an impact on how the different departments engage with donors. For example, while the Policy and Research Division rely heavily on core funding, Operations relies almost entirely on project funding, with which there is a more direct dialogue with donors about fulfilling client needs and demands. ISSAT rarely applies for tender, as it focuses on the needs of its main clients, which are part of its Governing Board (16 bilateral and 7 multilateral organisations).

Table 2.3   Overview of DCAF funding mechanisms

DEPARTMENT OR DIVISION	FORM OF FUNDING	MAIN DONORS
Resources Department	Core Funding	Sweden, Switzerland etc.
Policy and Research Policy & Research Gender & Security Public-Private Partnerships	Core Funding	Switzerland, Open Society Foundation etc.
	Project Funding	Germany, Slovakia, Switzerland, UK etc.
	Inter-divisional cost-recovery mechanisms	n/a
	Public Private Partnerships pooled fund	UK, Switzerland
Operations Southeast Europe MENA Sub-Saharan Africa Eastern Europe, South Caucasus, Central Asia Asia Pacific Latin America & Caribbean	Project Funding	Belgium, EU, Germany, Netherlands, Spain, Switzerland, UN etc.
	Trust Fund for North Africa (only for Tunisia, Morocco, Egypt, Libya)	Belgium, Germany, Luxembourg, Netherlands, Slovakia, Sweden, Switzerland
	Pooled fund on Macedonia	Macedonia, the Netherlands, UK plus pledges/expressions of interest from Germany, Sweden, Switzerland
	Pooled fund on Police Cooperation Convention for Southeast Europe	Albania, Austria, Bosnia & Herzegovina, Bulgaria, Hungary, Macedonia, Moldova, Montenegro, Romania, Serbia, Slovenia
ISSAT	Pool Funding	Ireland, Netherlands, Norway, Slovakia, Sweden, Switzerland, UK etc.
	Project Funding	Austria, EU, France, Germany, IADB, UNDP, Finland

47.   Based on the staff survey results, the availability of core budget funding is extremely effective in supporting them to engage in long-term projects, which helps to achieve results as immediate and intermediate outcomes may take years to achieve and require a long-term perspective. From a negative perspective, many donors take a short-term approach to long-term security sector governance challenges. Also, while they have increased their project funding, this has not been matched by increasing core funding; Core funding base is still not adequately diversified, which limits the growth potential of the organisation. Further, the wide range of donor monitoring and reporting requirements are often so varied and time intensive, which are not always effective or useful in developing lessons learned, but only focused on short-term results.

Finding 14:   The Centre has outgrown the current capacities of the Financial and Human Resources Units (EQ3.2)

48.   Based on the SWOT workshops and interviews, there is a perception that DCAF are not using financial and human resources, and data on these resources, as efficiently as possible. In alignment with the new institutional reform process, new financial management and control procedures have been implemented. For example, efforts have been made to implement the Swiss GAAP (full fair closure) standards and processes. A financial core funding monthly forecast process has been implemented which leads to annual financial projections.

49.   It was mentioned by a significant number of interviewed staff members that there is a need to invest in more human resource capacity in the Financial and Human Resources Units as they have not sufficiently evolved to meet the needs of an organisation which has undergone significant growth, development and expansion since its inception. The current capacity of two persons (one Head at 60% and one Assistant at 100% since November 2014) is not sufficient for an organisation of their size (171 staff at Headquarters and Field Offices). The new reform process has already introduced several policies, processes and measures, such as the implementation of a new salary table, policies on promotions, consultancy fees and personal integrity and generic job descriptions. It is also a DCAF goal to develop a new recruitment process, involving the Human Resources Unit. While the reform process has led to significantly more work for the Human Resources Unit, there has not been an investment in more resources / capacity to fulfil the regular, ongoing, daily tasks as well as the implementation of the reform process which requires significantly more attention and workload. The increase in the capacity of the Unit, such as through the appointment of a full-time Head and a new administrative position, was one of the most commonly mentioned recommendations by DCAF staff that were interviewed for this evaluation and we return to this in our recommendations section below.

50.   It has been brought to light that cases of harassment were not always adequately addressed before the arrival of the new Director. As part of the institutional reform process, the new Director initiated a revision of the sexual harassment policy by consulting the two persons of trust, mandating an external organisation to submit a comprehensive policy proposal and consulting with the Directing Board and other staff for feedback. This led to a new policy on personal integrity that is much more effective and more 'staff-owned' with the message of a zero-tolerance policy towards harassment in the workplace. This has been an important step towards addressing harassment claims and putting forth grievance and redress mechanisms for victims. The new Director has also taken some decisive decisions that demonstrate his motivation to implement this zero-tolerance policy. However, there still needs to be further investment within the Human Resources Unit to ensure that they have adequate capacity, training and necessary tools to implement such policies on a corporate level and to safeguarding a healthy and secure workplace. This includes working with external experts on harassment when appropriate to ensure that all staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms.

However, in order to effectively implement this, some directed core funding would help contribute to this reform process as the financial investment into the Resources Department is crucial to the Foundation's sustainability.

51.   There is general agreement that the proportion of core experts and external experts is appropriate and that the Centre has the internal expertise it needs to deliver its services. There is however a clear split of opinions on the question of whether there is a duplication of roles and functions among staff at the Centre. Finally, staff are satisfied with efficiency in terms of achieving outcomes with the required resources and in good time. From the external survey, one sees that there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at DCAF to collaborate.

2.4   Sustainability

Finding 15:   The investment in tailor-made solutions for local partners, donors and stakeholders helps to ensure sustainability of their interventions (EQ4.1)

52.   Overall, the continued core funding of the Swiss government (approximately 44.1-46.7% of total contributions between 2014 and 2017) is significant in helping to ensure the DCAF can maintain its financial sustainability. Efforts to diversify both its financial and core funding base will only help the foundation become more sustainable in the long-term.

53.   Based on interviews with some operational and field office staff, DCAF ensures that beneficiaries continue to benefit from the intervention after the completion of a project through tailor-made and needs-based training of local partners, donors and stakeholders. Knowledge transfer and capacity building is the key to ensuring sustainability and long-lasting change should the intervention cease. At the same time, one respondent highlighted the importance to differentiation between some activities that are very sustainable because of local political will, capacity and resources to sustain activities. There are others where there would be a risk that a lack of DCAF engagement in future activities could mean the collapse of certain activities because the intervention is challenging, and the local partners are still in an ongoing reform process.

54.   DCAF's field presence means that it has the capacity to sustain long-term operations in different fragile and conflict-affected contexts. They are seen as a credible, trusted partner in country, with good access to information. They believe they have positive donor relations, with long-term relationships (over 15 years) and with recipient states and multilateral organisations. One of the threats they face is that donor demands are often focused on short-term solutions and outputs rather than outcomes. Further, the fluctuation in project funding can be challenging for sustaining the field offices.

Finding 16:   While there is room for improvement in the monitoring of results, DCAF invests in developing trainings, products and services that help ensure long-term sustainability (EQ4.1)

55.   Based on Staff Survey results, DCAF and its products have a strong reputation and influence strategy and policy making. There is certainly room for improvement in the measurement of results and evidence gathering, however, proper means should be secured and provided for that process. The Centre invests in developing long-term relationships, building on experiences and tracking the implementation or application of previous projects. There is regular and systematic monitoring through both field offices, as

well as Headquarters staff and staff are in constant direct exchange with key beneficiaries. DCAF aims to ensure sustainability of engagements, for example, by supporting local civil society organisations and civil servants who remain in long term contracts and continue supporting local institutions. DCAF invests in developing tailor-made trainings for national governments, partners and donors in different contexts to help ensure knowledge transfer and sustainability. These are often accompanied by Manuals and Toolkits that are use-friendly and applicable to different contexts and issues.

56.   However, some of the challenges the Centre faces are with regards to monitoring processes that could be stronger, though they do follow up on results with some regularity. There are limited human and financial resources to ensure monitoring once a project is completed. From an RBM perspective, there is no real feedback on how individual outputs could be used for future projects. One issue is that sustainability is partial because of staff turnover.

57.   The External Survey results demonstrated that donors, clients and partners are relatively satisfied with the sustainability of DCAF activities. When asked for examples of collaboration with DCAF that leads to lasting change, externals mentioned: trainings, events, workshops, on capacity-building and sharing of best practices on areas such as anti-corruption, SSR, linkage between mine action and SSR, gender and diversity, integrity (police and security forces), RBM, empowerment of civil society and public discussions; concrete operational activities in Ukraine, the Gambia and Guinea Bissau and Honduras, Myanmar, Philippines, Tunisia, former Yugoslavia countries; translation of DCAF publications in local languages; networking with other countries; elaboration of SSR/SSG guidelines; global support to fragile states.

58.   When prompted to provide factors that supported this sustainability, respondents stated that DCAF has expertise, commitment invest in follow-up after projects. They are perceived as using a comprehensive and diplomatic approach adapted to local context and with a highly cultural sensitive staff. The continuity in the programmes, responsiveness, flexibility, credibility and reputation of the Centre were all appreciated. Further, it was stated that DCAF provided financial support and close collaboration with local and regional partners through trainings, workshops, seminars, good communication and transparency. One respondent stated that DCAF is: The first institution to seriously look at gender in an SSG/SSR context. The external survey results are highly positive demonstrating that issues raised by DCAF staff (such as human resources, management and lack of sustainability) are not felt or raised by external stakeholders.

59.   In terms of planning for the future, the ongoing institutional reform processes are a step in the right direction. Further investment needs to be made in human resources capacity and the implementation of new policies and processes at the corporate level. With regards to the RBM process, the third aim (to implement a Lessons Learned process) is planned for 2018 and this will be an integral process to help ensure that they can collect data from their RBM process outcomes and create ways to systematically transfer knowledge and learning for future project development.

3 Conclusions

60. As an organisation, DCAF has undergone significant changes during the evaluation period (2014-2017). Due to these changes, DCAF remains highly relevant in its thematic expertise, core mandate and key offerings in terms of training, products and services. It remains true to its mission to commit to SSG/SSR and goals to have an impact in fragile and conflict-affected contexts with the development of long-term partnerships and relationships with local interlocutors on the ground.

61. Where the organisation has undergone the most change is in relation to its effectiveness. The evaluation of DCAF is particularly challenging as it covers a time period in the organisation's life that signifies a complete reform of the institutional organisation, its policies and processes, its staff recruitment and leadership, its RBM processes, its standardisation of ways of working and its decision-making processes both at the Department and Management levels. Here, the data has provided a range of responses as well as space for critical voices. It is evident that due to the very recent change processes, there is a mixed level of satisfaction on the impacts of these reforms. This is not unusual in such a transformational change management reform process. From the outside, there is perhaps less knowledge, information or communication on how the reforms are affecting the daily work and effectiveness of the foundation. The results show that while investments are being made to improve the effectiveness of the organisation in a wide range of areas, the implementation and consolidation of the reforms are still in their early stages and it remains challenging to adequately assess their impacts. Here, it is integral that there is additional investment into, for example, the Resources Department to help ensure that they have adequate training and capacity to support the implementation of new policies and reforms at the corporate level.

62. In terms of the governance of the organisation, there are some questions related to the future role and responsibilities of the Foundation Council and Bureau of the Foundation Council to make the organisation more effective and strategic in its operations. Generally, a more strategic relationship with donors would be fruitful.

63. In terms of financial efficiency, the growth of the organisation begs for further diversification of funds that would help it become less dependent on Swiss core funding. At the same time, the organisation must be cautious not to implement so many different financial mechanisms that could lead to competition between departments instead of coherence.

64. DCAF works hard to be sustainable in its activities through ensuring that local partners receive tailor-made solutions and that their needs and demands are adequately met. Through its reform process, it appears to be planning for a future that is more sustainable, long-term, effective and relevant.

4   Recommendations to DCAF

Recommendations to DCAF Headquarters

Recommendation 1:   The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities

Priority: Short-term

Finding: 6

65.   In line with the example of GICHD, an active Advisory Board can support the Centre's strategic direction and programme priorities. The Board could include experts in the fields of SSG/SSR who can act as a sounding board on content-related issues and ideas. It could support; the development of strategies and priorities that speak to the needs of donors, partners, clients and other stakeholders; ensure that DCAF strengths, expertise and human resources capacities are taken into consideration in decision-making processes; provide a space for feedback loops and for testing strategic ideas. (See also recommendation 4).

Recommendation 2:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Priority: Short-term/on-going

Finding: 8, 9, 14, 16

66.   The Director should speed up the process of recruitment of a new Head of Resources Department and ensure that this person has the appropriate resources and capacity to lead the department. In the immediate, short-term, the Head of Resources Department should work with the Director and the Human Resources Unit ensure that Human Resources staff has adequate training to implement the new policy on personal integrity that provides grievance and redress mechanisms to address claims on discrimination and harassment. The Director and the Head of Resources Department should establish corrective action and due process for persons accused of committing harassment and work together with external experts on harassment when appropriate to ensure that all DCAF staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms. In the medium term the Head of Resources Department should to ensure that there is a more equal distribution of tasks between staff and that staff has adequate training to meet upcoming DCAF needs, e.g. on data protection.

Recommendation 3:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Priority: Medium-term

Finding: 8, 14

67.   The Finance Unit also requires investment. This could include the recruitment of a Financial Controller who is not linked to the Divisions and the recruitment of a project accountant or controller who

can support the Divisions. The department should also establish a policy on financial reserves as a foundation to help ensure that any core funding cuts do not lead to an organisational crisis.

Recommendation 4:   The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Priority: Medium-term

Finding: 4, 6

68.   The Centre should continue to develop its engagement with the Foundation Council and Bureau, including strategic consultations to move beyond one-way communication that opens avenues for fundraising opportunities and improves interaction on substantive activities. The Departments and Divisions can do more to support and share the analysis of donor needs to facilitate fundraising. This could be done within the potential new advisory board, or through an allocated focal point with the responsibility to collect and analyse data. The analysis could be integrated into the RBM system and should be designed to help with strategic fundraising processes and donor outreach. This should support DCAF to establish more proactive analysis of donor needs, strategies and trends and move away from simply a reactive approach.

Appendix I List of Findings

Finding 1:   DCAF is at the forefront of the SSG/SSR market and has a strong, credible reputation. The Centre's name may be an obstacle to further growth (EQ1.1, 1.3)

Finding 2:   DCAF has relevant experience working in fragile and conflict contexts but could further invest in its conflict sensitive approach and ensure coherence across divisions and projects (EQ1.1, 1.3)

Finding 3:   While Gender and Security has become an increasingly important thematic area, there is work to be done to ensure staff gender diversity at the management level (EQ1.5)

Finding 4:   While DCAF has refined its strategic priorities and focus, there is a potential to use donors, the Foundation Council and Bureau in a more strategic way (EQ1.1, 1.2, 1.8)

Finding 5:   DCAF has used its position within the Maison de la Paix (MdP) to promote more synergies with the other Centres (EQ1.4)

Finding 6:   The capacity of the Foundation Council and the Bureau require further clarification to ensure effective strategic oversight (EQ 2.3)

Finding 7:   The strategic development process was key to helping the Centre sharpen its focus, set its key priorities and communicate its thematic and regional strategies (EQ2.1)

Finding 8:   DCAF's institutional reform process launched on 1 January 2017 has been a ground-breaking experience but it is too early to assess the impact (EQ2.1, 2.3.2)

Finding 9:   DCAF staff have a mixed level of satisfaction with the institutional reform process (EQ2.1, 2.3.2, 2.4)

Finding 10:   The newly established Results-based management (RBM) process is a well-integrated yet complex system of analysis to measure DCAF outcomes (EQ2.2)

Finding 11:   DCAF's first Performance Report 2016 shows important progress in monitoring results and achieving outcomes (EQ2.2)

Finding 12:   DCAF has increased collaboration with the United Nations and is positioning SSR in the SDGs Agenda 2030 (EQ2.8)

Finding 13:   DCAF has met the threshold for diversifying its funding sources (EQ 3.1)

Finding 14:   The Centre has outgrown the current capacities of the Financial and Human Resources Units (EQ3.2)

Finding 15:   The investment in tailor-made solutions for local partners, donors and stakeholders helps to ensure sustainability of their interventions (EQ4.1)

Finding 16:   While there is room for improvement in the monitoring of results, DCAF invests in developing trainings, products and services that help ensure long-term sustainability (EQ4.1)

Appendix II List of Recommendations

Summary recommendations to DCAF Headquarters

Recommendation 1:   The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities

Recommendation 2:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3:   The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4:   The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Appendix III DCAF Organigrams

69.   The following DCAF organigrams show the change in the organisational structure. Figure iii.1 shows that from 2014-2016 and Figure iii.2 shows the new structure as put forth through the institutional reform process from 1 January 2017.

Figure iii.1   DCAF organisational structure 2014 to mid-2016

DCAF Organisational Chart, 2015   Annex 3

Director
Theodor Winkler

Executive Secretary
Lynn Turner

Deputy Director
Philipp Fluri

DDO   **DCAF Brussels**

Senior Defence Advisor
Michel Stollsteiner

Asst. Director for Int. Relations
Daniel Warner

Senior Advisor EU
Nicole Gnesotto

Chargé de mission
Guy de Haynin

Administration
Lynn Turner

Research Division
Heiner Hänggi

ISSAT
Mark Downes

Operations I
(Southeast Europe)
Darko Stancic

Operations II
(MENA)
Arnold Luethold

Operations III
(Africa and Gender)
Anja Ebnöther

Operations IV
(Public Private Partnerships)
Alan Bryden

DCAF Ljubljana

DCAF Beirut

DCAF Ramallah

DCAF Tunis

Figure iii.2   DCAF organisational structure from 1 January 2017

DCAF Organizational Structure as from 1 January 2017
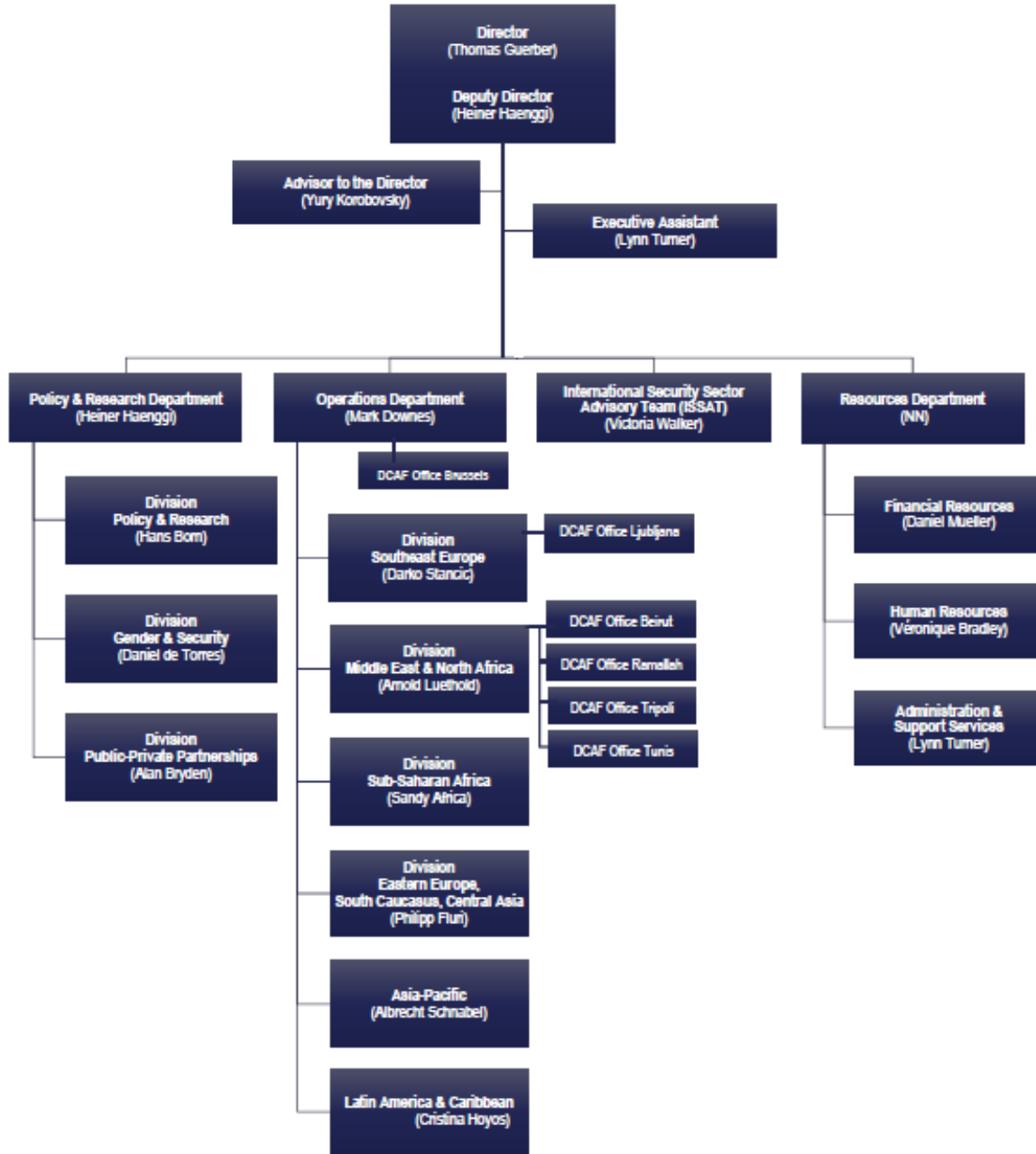
External Evaluation of the Geneva Centres

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UNIVERSALIA

Appendices

Appendix I Terms of Reference

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of Foreign Affairs FDFA
Directorate of Political Affairs DP
Human Security Division:
Peace, Human Rights, Humanitarian Policy, Migration

Terms of reference for the "External Evaluation of the Geneva Centres"

1. Terms and abbreviations

ABBREVIATION	DEFINITION
CdP	Comité de Pilotage
DCAF	Geneva centre for Democratic Control of Armed Forces
DDPS	Federal Department of Defence, Civil Protection and Sport
FDFA	Federal Department of Foreign Affairs
FOPP	Federal Ordinance on Public Procurement
GICHD	Geneva International Centre for Humanitarian Demining
GCSP	Geneva Centre for Security Policy
ISSAT	International Security Sector Advisory Team
SDC	Swiss Agency for Development Cooperation
StG	Steuergruppe

2. Purpose of this document

This document contains the requirements relating to the mandate for project "External evaluation of the Geneva Centres". It serves as a template for the bidder to submit his or her offer. Contracts are awarded according to the invitation to tender procedure according to Art. 35 of the FOPP.

3. Goal and content of the mandate

3.1 Background

3.1.1 Geneva Centres GCSP, GICHD, DCAF

Capacity building in the domain of security policies, security sector governance and reform, as well as mine action is a major factor in making the world more peaceful and stable. In the 1990s, Switzerland founded a competence centre for each of the three fields of activity: GCSP (Geneva Centre for Security Policy, 1995), GICHD (Geneva International Centre for Humanitarian Demining,1998), and DCAF (Geneva Centre for the Democratic Control of Armed Forces, 2000). The Centres are independent foundations under Swiss law. Each of the Centres is governed by an international foundation council. All three Centres have become internationally renowned Centres of excellence in their respective field of work. They also reinforce International Geneva's status as an international city. The Centres receive financial support from a number of countries and partners. The biggest funder is the Swiss government with its contribution via the Federal Department of Foreign Affairs (FDFA).

Geneva Centre for Security Policy (GCSP)

The GCSP was established for the purpose of promoting peace, security and stability through education, analysis and dialogue. Committed to the highest professional standards, GCSP trains government officials, diplomats, military officers, international civil servants, and NGO staff by providing them with knowledge and skills in relevant fields of international peace and security. Through policy research and publications, the GCSP contributes to stimulating the discussion in the thematic areas of "leadership in conflict management", "emerging security challenges", and regional capacity development. Leveraging its unique location in Geneva, GCSP also provides an internationally recognised forum for dialogue on key security and peace policy issues. For more information please visit www.gcsp.ch.

Geneva International Centre for Humanitarian Demining (GICHD)

The Geneva International Centre for Humanitarian Demining (GICHD) is an expert organisation working to reduce the impact of mines, cluster munitions and other explosive hazards, in close partnership with mine action organisations and other human security actors. The GICHD supports the ultimate goals of mine action: saving lives, returning land to productive use and promoting development. The GICHD supports national authorities, international and regional organisations and NGOs in their efforts to improve the relevance, performance and sustainability of mine action. By bringing together experts and practitioners, gathering and sharing knowledge, the GICHD acts as a central reference point in mine action and ammunition safety management.

The GICHD hosts the Implementation Support Units of both the Anti-personnel Mine Ban Convention and the Convention on Cluster Munitions. In addition, it hosts the Gender and Mine Action Programme Association and the Geneva Disarmament Platform Association. For more information please visit www.gichd.org.

Geneva Centre for the Democratic Control of Armed Forces (DCAF)

The Geneva Centre for the Democratic Control of Armed Forces (DCAF) is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders.

Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for security sector governance (SSG) and security sector reform (SSR). For more information please visit www.dcaf.ch.

3.1.2 Swiss support to the Geneva Centres

The Swiss Confederation supports the GCSP, the GICHD, and the DCAF through both core and project funding and is a member of the respective governing boards of the Centres. Based on the decision of the Swiss Federal Parliament with regard to the framework credit 2016-2019 in support of the three Geneva Centres (federal dispatch 14.091, hereinafter also referred to as the "dispatch")[1], the Swiss contributions 2016-2019 will sum up to a maximum of CHF 129 million.

The dispatch stipulates inter alia that an evaluation shall be undertaken, focussing on the relevance, effectiveness, efficiency and sustainability of the work executed by the three Geneva Centres. This evaluation shall be initiated by the Interdepartmental Steering Committee of the Swiss Federal Government, the so-called Comité de Pilotage (CdP). The CdP is in charge of implementing the Swiss interests with regard to the three Centres by providing the overall strategic steering with regard to and management of the Swiss contribution. It is therefore also responsible for the evaluation. The CdP has decided to assign the mandate for an external independent evaluation (hereafter "the evaluation") through an invitation to tender process.

3.1.3 Background of the evaluation

Since the founding of the Geneva Centres and particularly within the past few years, the geopolitical security setting, the fields of human security, mine action, and security sector have fundamentally changed. Both new challenges and new opportunities have emerged, some previously pivotal aspects have lost their significance, and some long-standing issues remain unsolved. It is therefore decisive that the three Geneva Centres constantly adapt to the current peace and security environment and adjust to needs and demands of Switzerland and the international community.

In 2014, the Swiss Confederation conducted an external and independent evaluation of the Geneva Centres on their relevance, effectiveness and efficiency. The 2014 external evaluation informed the editing and submission of the federal dispatch 2016-2019, which itself anchored the intention of the Federal Council to periodically conduct an evaluation of the relevance, effectiveness and efficiency of the use of the Swiss financial contributions to the three Centres.

The current external evaluation to be conducted in 2017/2018 thus follows a similar logic and will contribute to the development of a next report and dispatch of the Federal Council to the Federal Parliament for the 2020-2023 legislative period, addressing the relevance, effectiveness, efficiency and sustainability of the three Geneva Centres.

The evaluation provides a twofold opportunity:

- it allows a **retrospective approach**, analysing the status of implementation of the concrete tasks given by the parliament through the dispatch 2014 to the parliament,

- it allows a **prospective approach**, e.g. analysing the ability of implemented methods and instruments to adapt future trends relevant for the centres and providing recommendations on how to ideally address them in the context of the Swiss Confederation's contributions.

The fundamental approach of the evaluation is therefore not an "audit" of past activities, but an opportunity to take stocks and look ahead on a strategic level in the spirit of corporate development.

3.2 Objectives

3.2.1 Overall objective

In the light of both the aforementioned retrospective and prospective approaches, the **overall** **objective** of the evaluation is twofold:

Accountability: The evaluation shall account for the activities and the positions of GCSP, GICHD and DCAF in their respective area of activities between mid-2014 and mid-2017 and the results achieved in this period. It shall produce information and insights for the report to the Swiss Parliament on the implementation of the current framework credit line resp. the current dispatch.

Learning: The evaluation shall contribute to the corporate development of GCSP, GICHD and DCAF; the evaluation might also foster the process of formulating the strategy paper for each Centre. The evaluation thus aims to contribute, with its assessment, findings, conclusions and recommendations, to the following strategic thrusts:

- Adjustment of management and governance structures appropriate to the size of the organisation;

- Development towards a comprehensive impact and result based management (with regard to both substance and institutional set-up);

- Further sharpening of the profiles of the Centres as a prerequisite for synergies among the Centres within the Maison de la Paix.

3.2.2 Institutional set-up and governance of the evaluation

The following governing bodies are part of the institutional set-up for the evaluation and have the responsibilities thereafter:

The evaluating expert(s) resp. team (hereafter: the evaluator): The evaluator (yet to be selected) conducts the evaluation according to the mandate and terms of references. While the evaluator is in a regular and close contact with the focal points of the evaluation, the evaluator has an independent position, meaning that the evaluator is free in his or her conclusions and thus recommendations.

Committee (Comité de Pilotage, CdP): The CdP is the awarding authority for the evaluation. The CdP is composed of representatives from the Federal Department of Foreign Affairs, FDFA (Political Directorate PD, and Swiss Agency for Development Cooperation SDC) and of the Federal Department of Defence, Civil Protection and Sport, DDPS (General Secretariat, and International Relations Defence). The CdP receives all reports and products of the evaluation and will provide a management response.

Steuergruppe (StG): The StG ensures the day to day management, coordination and the quality of the evaluation process, including the tender process, and serves as point of contact for the Geneva Centres and the evaluation team during the evaluation process and maintains the dialogue with them.

GCSP, GICHD and DCAF (the three Centres or Centres) represent the evaluated system. The Centres participate in the formulation of the questions for the evaluation in the Terms of Reference. Each Centre receives the inception report, the evaluation report and formulates the management response regarding its specific recommendations.

3.3 Content of the mandate, terms of reference

3.3.1 Approach

The CdP decided that the evaluation shall be conducted by one evaluation team that carries out the assessment of all three Centres. This approach allows for a coherent assessment and for analysing the potential for synergies between the Centres. The evaluation shall assess aspects of relevance, effectiveness, efficiency and sustainability that are important for all three Centres and answer the general questions that are common to all three Centres (see point 3.2). Furthermore, this evaluation shall focus on specific issues for each Centre (see point 3.3).

3.3.2 Focus of the evaluation for all three Centres

The **overall focus** of the evaluation will be on the strategic orientation, the quality of implementation in terms of achievements and in relation to the tasks and emphasis defined in the current dispatch ("Auftrag" and "Schwerpunkte 2016-19") and in the Framework Agreement 2016-19. Furthermore, governance structures, institutional mechanisms, management procedures, stakeholder perception and donor satisfaction will be looked at.

Limitations: Specific interventions and individual projects are not in the focus of this evaluation, but some of them might be assessed in order to analyse the results monitoring mechanisms and the quality of the services offered.

Relevance

- Strategic relevance (in general):

- How do the Centres anticipate and analyse contemporary and future trends and developments in their respective areas of activities?
- How do the Centres anticipate and analyse existing needs and trends among the international stakeholders (e.g. governments, relevant international organisations, NGOs, private actors)?
- How do the Centres anticipate and analyse major donors' strategies and trends in the relevant domains of excellence?
- How is the analysis of the aforementioned developments, needs and donors' strategies and trends reflected in the respective strategies of the Centres?
- How is the analysis of the aforementioned developments, needs and donors' strategies and trends used for the corporate development?

- Foreign and security political relevance for the Swiss Confederation in particular:
  - Do the contributions by the Centres meet the needs expressed by the Swiss Confederation (e.g. through the dispatch 2014 to the parliament, the framework agreement or the annual service agreements)?

- Excellence:
  - How are the Centres perceived in the international context, in particular by different stakeholders (donors, customers, partners), such as States, international, regional, national and non-governmental organisations?
  - How are the roles, performances, services and contributions of the Centres assessed by both international and national stakeholders and representatives of the respective sectors / industries?
  - Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?
  - How are the Centres perceived by donors/potential donors with regard to their functionality towards the implementation of relevant donor policies?

- Profile and synergies:
  - Do the Centres have accurate processes in place to continuously raise their profiles?
  - Have the Centres taken active measures to sharpen their respective profiles, also with a view to promote synergies among themselves and with other partners within the Maison de la Paix?
  - What has the move into the "Maison de la Paix" implied in the short and long term for the three Centres' work?
  - What potential synergies exist with regard to joint products, processes etc., and which potential has not yet been addressed?
  - What measures have been taken, and what measures are planned?
  - Gender: How is gender taken into consideration in the management of the Centres and in the activities and programmes?

Effectiveness

- Implementation and continuous tracking of the strategy:
  - Do the Centres have a formalised and transparent strategy development and respective strategy implementation process? What are the schemes and methodologies used therein? Do these schemes and methodologies enable accountable strategic performance management?
  - How do the Centres assess the accuracy and the progress of their strategy implementation?

- Does the outcome (e.g. products and services) of the Centres meet the needs and expectations of the relevant stakeholders?
- Have the Centres introduced an impact and results-based management (RBM) approach into their strategies (focusing beyond the output level)?
- Have the Centres introduced an impact and results-based management (RBM) approach into their operations?
- How is the impact and results-based management approach applied on strategic and operational levels?
- How do they monitor and evaluate implementation and results? To what extent have the results of the Centres so far contributed to the achievements of their objectives?
- How do the Centres learn and adapt based on their measuring and monitoring of the results?
- Are the strategic objectives reached?
- Have appropriate structures, programmes and priorities been set to promote the strategic objectives?
- How do the Centres measure the relevance of their services/contributions towards the respective goals and purposes? How do they manage their core processes and if necessary take corrective action? How do they communicate on achievements in the implementation of their strategies?
- Is the respective period of the strategies in line with the period of the Swiss legislative period (2016-2019)? If not, what measures could be taken to improve and synchronise the periods?

- Corporate Governance structure:
  - Have the positions of both the Council of Foundation and their Bureaus being strengthened in the past? And does the strengthening allow a better risk analysis and management than before?
  - Are the governance structures of the Centres adequate in order to allow an efficient and effective implementation of their respective strategies?
  - Are the management and governance structures and procedures of the Centres adequate with regard to the size and the nature of the services of the Centres?
  - Are the governance structures and procedures of the Centres adequate with regard to the working context and to the donor relations, the current funding situation and the financial risks of the respective Centre?
  - Have any adjustments of governance structures taken place since mid-2014, or are there any concrete plans to make such adjustments?
  - Are the organisational structures dynamic and flexible enough to be adapted to new challenges in the future or temporary requirements?
  - Are standardised reporting processes including effectual correction procedures in place?
  - The results and findings of the evaluation 2017 shall be consolidated (gap analysis) on the basis of the management responses of the 2014 evaluation;

Efficiency

- Finances
  - Have the financial sources for the three Centres been diversified (as stipulated in the dispatch), and has particularly the share of funds by other donors (not the Swiss

Confederation) reached or surpassed the defined thresholds (GCSP: min. 15%, GICHD: min. 25%, DCAF: min. 45% of the total revenue through contributions by other donors)?

– Do the Centres apply adequate financial management and control procedures, according to national and international standards?

– Do the Centres make optimal use of the financial and human resources to produce the expected outcomes?

– How do the Centres assure funding with a mid-term and long-term perspective?

- How are the Centres positioned and prepared for their work in fragile contexts? I.e. are the Centres well equipped, structured and staffed in order to work in fragile states?

- Is t h e proportion of personnel expense between core experts (permanent staff) and external experts (temporarily mandated) adequate, measured in terms of outcome?

- How do the Centres address the potential to develop a joint IT-policy or to use synergies with regard to logistics?

Sustainability

- To what degree does the completion of an intervention lead to a lasting change?

- Do the beneficiaries continue to benefit from the interventions after the completion of an intervention?

- What is the level of independent ability of a partner/government to continue the intervention after the Centre's support is discontinued?

- Employees: Is the workforce adequate in terms of quality and quantity in order to implement the strategy, tasks and achieve the goals of the Centre (quality)?

- Have the Centres implemented a formalised lessons-learned (continuous improvement) process?

3.3.3 Specific questions per Centre

Specific questions addressing concrete thematic issues for each Centre:

GCSP

- Are the thematic focus and the service offered by GCSP appropriate, dynamic and competitive? Is it in line with its statutory tasks and the ones defined in the federal dispatch 2016-19 (particularly with regard to training, analysis and dialogue facilitation)?

- Does the GCSP offer appropriate training methods that meet today's requests by the international civil and military clients?

- Has the GCSP increased its competitiveness compared to other training institutions in the domain of excellence?

- What are the concrete outcomes as a result of GCSP activities? Has the GCSP in particular extended its course programme and the circle of potential customers?

GICHD

- What are the concrete outcomes (e.g. quality and benefit in the perception of donors and customers) as a result of GICHD activities? Is there a gap between Stakeholders expectation and the actual products and services offered by the Centres?

- Is the scope of the thematic and country-specific offerings of GICHD adequate, contemporary and effective, taking into account the evolving working context?

- How does the GICHD integrate new developments in the domain of mine action (and explosive threat reduction in general), both on a global level and on a country-specific level?

- What are the opportunities and risks for the GICHD to expand the scope of its work beyond the traditional mine action sector?

- What is the GICHD's performance regarding its cooperation and coordination with other mine action actors, including governments, national authorities, UN agencies, research centres, operators, and other relevant organisations?

- Is the hosting of the Implementation Support Unit to the Anti-Personnel Mine Ban Convention and the Implementation Support Unit to the Convention on Cluster Munitions functional?

DCAF

- Has DCAF increased its collaboration with the United Nations and other multilateral partners in the domain of security sector reform in terms of concrete products and services?

- Has DCAF increased its support to police-related and other SSR-related activities (globally or in specific countries) in terms of concrete products and services?

- Is the scope of core competencies (thematic areas) and activity lines (services) adequate, contemporary and effective?

- To what extent are the different departments of DCAF (including ISSAT) contributing to the overall DCAF objectives? Does DCAF have a systematic process in place to measure its performance?

- To what extend have the organisational structure and internal policies been efficient and contributed to the effective delivery of DCAF's strategy over the period under review? What has changed in terms of organisation structure and internal policies since the 1st of January 2017? Are these measures adequate in order to contribute in a more effective and efficient way to the overall DCAF objectives?

- How are the donors implied in strategic and thematic discussions? Is there room for improvement? Are the structures adequate for donor commitment?

- What types of immediate and intermediate outcomes can be observed as a result of DCAF's support to national and international actors in line with its corporate results framework?

3.3.4 Methodology

The methodology for the evaluation includes:

- Study of relevant documents (particularly also on the strategic and/or political level).

- Interviews and discussions with representatives of the management and staff of the Centres, of the CdP and with the bureau members of the council and of each foundation as well as with members of advisory boards.

- Surveys/interviews with stakeholders, partners and beneficiaries of the Centres (in the respective domains of the Centres' activities).

- Appliance of a SWOT analysis.

- Visits of partners abroad.

- Identification of issues that would require further investigation.

The criteria and indicators for the analysis of the defined focus will be provided by StG at the beginning of the evaluation.

The evaluation team shall present a refined methodology in its inception report.

The recommendations should address the issues that need specific attention to strengthen the Centres' relevance, effectiveness, efficiency, and sustainability (along the focus defined in 3.2. and 3.3.). The recommendations should allow for concrete improvements at strategic and operational levels (see also 1.3. and 2.1.). Presentation and discussion of findings, recommendations, and other issues will be discussed during a restitution workshop with the CdP at the end of the evaluation process.

3.3.5 Evaluation standards

The evaluation shall be carried out according to the DAC Evaluation Quality Standards, including the DAC Guidelines on Evaluating Peacebuilding Activities in Settings of Conflict and Fragility (OECD 2012) as well as to the Swiss Evaluation Standards (SEVAL- Standards). For the GICHD, also the International Mine Action Standard 14.10 "Evaluation of Mine Action interventions" applies. For the GCSP, the EduQua standards also apply.

3.3.6 Deliverables

Under the mandate assigned to the evaluation team the following deliverables are expected (all in English):

- **Inception Report** with the following information: refined methodology, refined evaluation questions, workplan and a proposal regarding format and structure of the evaluation report. The Inception Report shall be addressed to the CdP (via the StG) for discussion and approval.

- **Draft Report,** including key findings (based on a SWOT-analysis) and recommendations shall be addressed to the CdP (via the StG) and to the directors of the Centres for comments.

- **Final Evaluation Reports**: Evaluation Report of max. 20 pages for each Centre, plus a maximum 10 pages overall report on synergies and comparisons, annexes and an executive summary of max. 3 pages, including key findings and recommendations.

- **Timeline**: Draft report by February 2018, final report by April 2018.

3.3.7 Requirements of the expert

All of the following competences and skills are required for the evaluation:

a) the evaluator should hold an independent position, and in particular not be an employee of the Swiss Federal Administration, the GCSP, GICHD or DCAF, or a direct project partner of the three Centres, and was not at any time employed by these institutions within the past 24 months;

b) the evaluator should have proven experience and competence in evaluating partnerships between governmental and non-governmental organisations and think tanks in the domain of peace and security (i.e. security policy, peacekeeping and peacebuilding, international humanitarian law and human rights, humanitarian policy, sustainable development, etc.);

c) the evaluator should have proven experience and competence with regard to corporate development, business development, operation management, etc. in political contexts;

d) the evaluator should have an advanced knowledge on foreign and security political trends as well as on key questions in the humanitarian domain;

e) the evaluator should be sensitive to gender issues;

f) the evaluator should be fluent in English; it is further recommended that the evaluator is fluent in a Swiss official language (particularly German or French).

3.4 Time frame, target dates

Deadline	Activity
25 August 2017	Publication of the TOR on the FDFA website as well as on alnap.org, and invitation of at least three bidders
8 September 2017	Deadline for submission of questions by e-mail
12 September 2017	Sharing of answers to submitted questions
12 September 2017	Deadline for Expression of Interest
20 September 2017	Deadline for submission of complete offers
Until 27 October 2017	Selection of the evaluation expert
Until early November 2017	Finalisation of contract and administrative questions
November 2017 – February 2018	Evaluation according to TOR / mandate
Until 28 February 2018	Submission of preliminary draft report (for consultation) to both the CdP and the three Centres
Until 23 March 2018	Feedback by the CdP as well as the three Centres on the draft report.
Until 16 April 2018	Finalisation of the Evaluation Report, Submission of the final report to both the Swiss Federal Administration and the three Centres
Until 31 May 2018	Finalisation of management responses by the CdP and the three Centres

4. Formal aspects of the invitation to tender

4.1 Contracting authority

The Human Security Division of the FDFA (Bundesgasse 32, 3003 Bern) manages the award procedure and is also the direct mandating party for the bidder.

4.2 Type of procedure

Procurement in the invitation to tender is in accordance with the Federal Ordinance of 11 December 1995 on Public Procurement, FOPP, SR 172.056.11.

The award of contract **cannot** be contested.

4.3 Composition and content of the offer

CHAPTER	DESCRIPTION	NO. PAGES	SC/ AC[1]
0	Covering letter with signatures	1 p	
1	Title External Evaluation of the Geneva Centres GCSP, GICHD and DCAF (2010-2013)		
	Call for proposals		
1.1	Subtitle: Tender Offer Name, City/Country Lead Person		
	Date		
2	Technical Offer	Max 8 p.	AC1-AC3; SC10-SC11
	Introduction with motivation for the evaluation		
	Appraisal of the mandate / approach		
	Description of the refined methodology		
	Refined workplan		
	Competencies, roles and responsibilities of the team members. Profile of team leader.		
3	Financial Offer	1 p	AC 4
4	Annexes		SC 1-SC 9

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[1] Reference to Suitability Criterion (SC) or Award Criterion (AC)

CHAPTER	DESCRIPTION	NO. PAGES	SC/ AC[1]
	Bidder declaration Declaration working conditions – Acceptance of electronic bill, GTC, etc. – Profile of the company – CVs of the team members – Track record / Relevant experience (References)		

4.4 Budget

A maximum budget of CHF 120'000.- (incl. VAT) may be provided for the mandate.

A minimum of 400 hours / 50 days are planned for the execution of this mandate/evaluation.

No reimbursement can be made for the bidder's work in preparing and submitting his or her offer.

4.5 Contractual terms

The contract to be concluded is subject to the general terms and conditions General terms and conditions (GTC) of the Confederation for service contracts. The general terms and conditions are considered to be accepted when an offer is submitted.

The contract with the winning bidder will be concluded in November 2017. However, the 1st instalment disbursed to the winning bidder under the contract will be paid earliest in January 2018.

5. Suitability criteria

The bidder can verify his or her ability to fulfil the mandate in technical, financial and commercial terms, resp. shall confirm this with a self-declaration.

NO.	SUITABILITY CRITERION	VERIFICATION
SC 1	**Information of bidder** The bidder has to fill in the bidder information Annex 1.	Written confirmation, signed by the bidder according to Annex 1 *Bidder declaration).*
SC 2	**Compliance with working conditions, workplace health and safety regulations and requirement of equal pay for men and women** **a) Compliance with procedural principles:** The bidder confirms that his/her company (and their subcontractors and sub-suppliers mandated by said company) comply with the procedural principles according to the self-declaration of the federal procurement conference. In case of a consortium each member has to fill in and sign the self-declaration. **b) ONLY FOR SERVICES PROVIDED IN SWITZERLAND**: Additional	a) Legal signature on the self-declaration (annex 2 *Form Declaration working conditions*). b) Written proof that the basis of good employer practice regarding salary inspection has been checked (by the *«Fazit sheet»* Logib, *controls* of state authorities or salary analysis of third parties). This proof has to be based on wage data not older than 36 months

NO.	SUITABILITY CRITERION	VERIFICATION
	evidence of respect equal pay for men and women Additional to the self-declaration bidders and members of consortium with more than 50 employees and their first level subcontractors with more than 50 employees have to prove how the basis of good employer practice regarding salary inspection has been checked by submitting a corresponding proof.	before signing the self-declaration.
SC 3	**Acceptance electronic bill** Contractors are obliged to submit an electronic bill to the FDFA if the contract value is above CHF 5'000 (excl. VAT). Information on the electronic billing system is available under the following link: www.e-rechnung.admin.ch. The bidder shall confirm that he/she is willing to submit an electronic bill to the FDFA.	Written confirmation.
SC 4	**Acceptance of conditions according to 4.5 of the Tender Document:** The bidder shall explicitly confirm, without limitation or modification, the acceptance of the conditions stipulated in 4.5 of the present tender document and the General terms and conditions (GTC) of the Confederation for service contracts annex 3	Written confirmation
SC 5	**Economic / financial capability:** The bidder has adequate economic/financial capability to carry out the mandate.	Latest Annual Report (in case an individual person bids: written confirmation)
SC 6	**Experience**: The bidder has done at least 2 institutional evaluations comparable with the present mandate in terms of purpose, scope and complexity. The relevant competencies and experience expected refer particularly a) to the thematic domain of peace, security and humanitarian affairs, and b) to corporate development/ business development in political contexts. He proves this experience with exactly 2 references in the last 6 years.	Written proof of the references giving at least the following data: • Name of company and address of contact person(s) and telephone numbers; • Time and place of execution of the mandate; • Volume of the executed mandate; • Description of the provided services; The contracting authority reserves the right to contact the contact persons indicated.
SC 7	**Personnel resources**: The bidder can contract the necessary personnel to be able to fulfil the mandate as described in Part A (3.3.7 Requirements for the evaluators) of this Tender Document.	Written confirmation with easily understandable documentation (incl. CVs) about the human resources employed for the mandate.
SC 8	**Contact partner**. The bidder defines the person that acts as team leader and as Single Person of Contact (SPOC).	Written confirmation, giving the family name and first name, contact data, function name and deputy of the SPOC
SC 9	**Language skills of the key persons**: The bidder is able to deploy key persons who can communicate in English, French and German both orally and in writing and are able to compile and supply the	Written confirmation with clearly understandable documentation about the language skills of the

NO.	SUITABILITY CRITERION	VERIFICATION
	evaluation report and documentation in English language.	team leader and the team members (based on the Common European Framework of Reference for Languages)
SC 10	**Quality assurance** in the evaluation process is guaranteed.	Description of quality assurance by team leader
SC 11	**Knowledge of Swiss instruments of foreign policy but enough independence from GCSP, GICHD, DCAF:** Knowledge: The evaluation team must have expertise to cover all aspects of this independent evaluation: a specific expertise related to topics of the respective Centre (Security policy training and education, mine action, and democratic control of armed forces), knowledge of international Geneva and of Swiss foreign policy. Knowledge II: The evaluation team must have expertise to cover all aspects of corporate development, respectively business development and operation management. Independence: The consultants should not have been involved in implementing activities of any Centre in the past 3 years. Evaluations are not considered as implementing activities.	Written confirmation

6. Award criteria

Of the valid offers submitted, the contract will be awarded to the economically most favourable bid.

Offers will be assessed according to the following award criteria and weighting:

NO.	AWARD CRITERION	WEIGHTING
AC1	**Qualification and experience of nominated team**	**40%**
1.1	Composition of the proposed evaluation team: required skills and experience in relation to: • The objectives of the evaluation • The experience of similar evaluations • Expertise in security policy, mine action, security sector governance and reform, as well as in education; • Knowledge of current and future trends in security policy, mine action, security sector governance and reform,	(30%)
1.2	Composition of the proposed evaluation team: required skills and experience in relation to • Expertise in corporate development, business development and corporate governance • -Knowledge of the languages required English, French, German	(30%)
1.3	Qualification of the **team leader** • Senior expert in evaluation • Knowledge of academic institutions	(40%)

NO.	AWARD CRITERION	WEIGHTING
	• Confirmed experience in management of a team for evaluations and assessments comparable in size and scope • Confirmed knowledge of the themes of security policy, mine action, security sector governance and reform • Professional experience of "International Geneva" • Knowledge of Swiss foreign policy • Language skills in English, French, German	
AC2	**Understanding of the mandate and general approach**	**25%**
2.1	Understanding of the mandate and proposed approach for the evaluation	(40%)
2.2	Measures taken for ensuring quality assurance	(40%)
2.3	Proposal for the mainstreaming of gender	(20%)
AC3	**Procedure and organisation**	**10%**
3.1	Agenda for the implementation of the evaluation	(50%)
3.2	Rationality of the proposed organisation/structure, coherence of the distribution of responsibilities, complementarity of the team, coverage of the thematic fields of evaluation	(50%)
AC4	**Financial Proposal**	**25%**
4.1	Clarity of the proposition, full character of the cost structure, realistic estimation of the costs	(20%)
4.2	The overall price is to be submitted only together with the budget form as per Annex 4. of the tender document, in accordance with 4.4 of the tender document and to include the following: • Working hours related to the mandate (indicating rate per hour) • Travel expenses • Other expenses $$Score = \left(\frac{P_{min} \times max.Points}{P}\right)^n$$ P = Price of the Proposal to be assessed P min = Price of the lowest Proposal n = 1	(80%)

Award criteria are evaluated on a scale of 0 to 5.

SCORE	FULFILMENT AND QUALITY OF THE CRITERIA	
0	Cannot be established	• Information not available
1	Very bad fulfilment	• Information is incomplete • Data quality is very poor
2	Bad fulfilment	• Information relates inadequately to the requirements • Data quality is poor
3	Average fulfilment	• Information globally responds inadequately to the requirements • Data quality is adequate
4	Good fulfilment	• Information focuses well on requirements • Data quality is good
5	Very good fulfilment	• Information clearly relates to the achievement of outputs • Data quality is excellent

7. Additional points to be noted by the bidder

7.1 Address for submission of offers

By **e-mail** to francois-philippe.garraux[at]eda.admin.ch

7.2 Language of documents, language of bids

The bid can be submitted in German, French, or English.

7.3 Expression of interest in submitting an offer and receiving documents

Interested bidders can express their interest in submitting an offer by e-mail to francois-philippe.garraux[at]eda.admin.ch until 12 September 2017 (close of business) and will receive these terms of reference and additional documents by e-mail in return.

7.4 Answering questions

Questions concerning the awarding of the mandate in question can be sent by 8 September 2017 (close of business). Please send in questions in writing by e-mail (francois-philippe.garraux[at]eda.admin.ch). PLEASE NOTE: The answers will be made available by e-mail by 12 September to all bidders who have expressed an interest in submitting an offer.

7.5 Deadline for submitting a bid and validity

The bid must be sent by e-mail to francois-philippe.garraux[at]eda.admin.ch by 20 September 2017 (date and time of e-mail submission) at the latest, with the following note: "Offer External Evaluation Geneva Centres"

The bid is valid for up to 60 days after the aforementioned date for submission.

Please submit the financial proposal in CHF (Swiss Francs).

7.6 Negotiations

Remain reserved.

7.7 Confidentiality

All information of any kind that comes to the attention of the bidder in connection with the tendered mandate of the awarding authority is to be treated as confidential. The content of the present tender may only be made available to persons taking part in the preparation of the bid.

The tender documentation may not be used for any other purposes than preparation of the bid, even in extracts.

Bidders treat facts as confidential that are not public knowledge or publicly available. In cases of doubt, facts are to be treated as confidential. This obligation to secrecy remains valid even after conclusion of the tender procedure.

The awarding authority undertakes to maintain confidentiality about this bid towards third parties subject to the reserve of statutory publication requirements.

7.8 Freedom of information

The final evaluation report will be unclassified and falls under the principle of freedom of information (as the costs of and the management response to the evaluation do).

The relevant documentation will be accessible without restrictions for the evaluating expert, except for cases of classified information according to the Ordinance of 4 July 2007 on the Protection of Federal Information (SR 510.411; status as of 1 July 2016).

7.9 Integrity clause

Bidders undertake to take all necessary measures to avoid corruption, especially not to offer or accept payments or other advantages.

Bidders who violate the integrity clause are required to pay a contractual penalty to the contracting authority amounting to 10% of the contract sum or at least CHF 3,000 per violation.

The bidder notes that a violation of the integrity clause leads as a rule to the cancellation of the award or to early termination of the contract by the contracting authority for important reasons. The Parties shall inform each other in case of any well-founded suspicions of corruption.

7.10 Protected rights

All protected rights that arise from executing the mandate shall be transferred to the contracting authority.

8. Annex

- Annex 1: Bidder Declaration
- Annex 2: Compliance with working Conditions
- Annex 3: General terms and conditions (GTC) of the Confederation for service contracts
- Annex 4: Budget Offer Type B
- Annex 5: Federal Dispatch on the framework credit 2016-2019 in support of the three Geneva Centres (online, available in German, French and Italian)
- Annex 6: "External Evaluation of the Geneva Centres, GCSP, GICHD and DCAF" (2010-2013), Final Report and Management Response by the CdP
- Annex 7: Swiss Federal Audit Office: Report on the 2017 Audit of DCAF (only in French).

Appendix II Detailed Methodology

This section presents a comprehensive description of the methodology employed for the evaluation of the three Geneva Centres.

The evaluation was undertaken in line with OECD-DAC Evaluation Standards[2] and Swiss Evaluation[3] Standards.

The evaluation team used a participatory and utilisation-focused approach. As such, a key objective of the evaluation team was to ensure that the evaluation is as useful as possible for its intended users.

The evaluation was framed by an evaluation matrix based on the questions outlined in the TOR, organised under four OECD/DAC evaluation criteria: relevance, effectiveness, efficiency and sustainability. The evaluation team were tasked to consider each Centre through these criteria separately, before assessing the Centres collectively and reviewing the synergies among them. The evaluation matrix is provided in Volume 6, Appendix III.

The evaluation used a mixed-methods approach to collect and triangulate data from different sources, using both quantitative and qualitative techniques. This supported the development of robust, evidence-based findings, which in turn allows for reliable conclusions and targeted recommendations.

The evaluation started with an inception phase, which began on 1 November 2017. After a preliminary document review, preliminary consultations with Swiss and Centre stakeholders, the evaluation team developed an inception report outlining the methodology and evaluation tools (particularly the evaluation matrix). The inception report was approved in December 2017 and data collection began in December 2017 and continued through to March 2018. A draft report for each of the Centres (3) was submitted to the Swiss Confederation for comments on 23 March 2018. A draft report on the synergies between the Centres (1) will be submitted for comments on 27 March 2018.

The following section provides more details on each method of data collection employed for this evaluation.

Semi-structured interviews

The evaluation team interviewed a total of 165 people both in person and over the phone. The interviews included staff members at management and operational levels at each of the Centres, Centre staff in field offices, Members of the CdP and StG, members of the Foundation Council Bureau of each Centre, partner government officials, policy makers, donors and peer organisations working in the respective sectors of the Centres. A full list of consulted stakeholders is available in Volume 6, Appendix IV.

The breakdown of interviews per centre is presented in table ii.1 below

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[2] http://www.oecd.org/development/evaluation/qualitystandards.pdf

[3] http://www.ader-evaluare.ro/docs/Swiss%20Evaluation%20Society.pdf

Table ii.1: Breakdown of interviewees by Centre

CENTRE	TOTAL NUMBER OF INTERVIEWEES		GENDER BALANCE
	STAFF	EXTERNALS	
DCAF	41	24	63% male; 37% female
GCSP	34	4	45% male; 55% female
GICHD	27	21	65% male; 49% female
Swiss Confederation (all Centres)	25		76% male; 24% female

The evaluation team used interview protocols with questions based on the questions outlined in the evaluation matrix. These protocols are presented in Volume 6, Appendix V.

SWOT workshops

In addition to interviews, the evaluation team facilitated workshops with staff at each of the Centres to hear their opinions on the Strengths, Weaknesses, Opportunities and Threats (SWOT) of their organisations.

We held two workshops at GICHD and GCSP, one for senior management and one for staff (thematic, operational and admin/finance staff). Each workshop included 8-15 people and lasted one and a half hours each. At DCAF, we held three workshops due to the larger staff size: this included one for the senior management team (4 people), followed by another for division and department managers and a third for staff.

The SWOT workshops proceeded as follows:

1) Evaluation team members described the purpose of the SWOT workshop and how it would proceed.

2) Evaluation team members split larger groups of participants into sub groups and asked them to identify strengths and weaknesses (internal to the Centre). Groups were allotted 15-20 minutes to discuss.

3) The evaluation team brought the groups back together and asked them to share their findings, collecting findings on a large flip chart. The evaluation team facilitated discussions and prompted questions about any issues relevant to the evaluation matrix that had not been mentioned.

4) The groups were split into their smaller groups for a second time and asked to discuss opportunities and threats (external factors) over the course of 15-20 minutes.

5) The evaluation team brought the groups back together and asked them to share their findings, collecting findings on a large flip chart and facilitating discussions.

After the workshops were finished, the evaluation team collated the findings for each Centre into a SWOT matrix, presented in Volume 5, Appendix VI. The names of those who participated in the workshops is detailed in the list of stakeholders consulted, Volume 6, Appendix IV.

Document review

We conducted a review of internal documentation for each of the Centres, as well as of documents that pertained to the Centres collectively, to Swiss strategies and framework credits, and literature

pertaining to the relative areas of expertise of the Centres. The document review provided crucial data on the role and activities of the Centres, their internal policies and management, their financial data and their strategic approach.

A list of documents consulted is available in Volume 6, Appendix VII.

Surveys

The evaluation included two separate online surveys for each Centre: an internal survey for staff and an external survey for other external stakeholders identified by the Centres.

To facilitate analysis across the Centres, the evaluation team developed survey questions that were applicable to all Centres. We included one section of tailored questions per Centre in our internal staff survey. We conducted a pilot survey with five staff members from each Centre to review our survey questions and make sure that they were understandable for staff from each Centre and adjusted the questions based on feedback from the pilot participants. There was no pilot for the external stakeholder survey because the evaluation team did not believe that the response rate would support the process.

The surveys were launched online (via SurveyMonkey) on 10 January 2018 and ran until 28 January 2018. After consultations with the Centres during the first week of the survey period, we translated both surveys into French and send reminders and new links with the option of choosing to complete the survey in French to those who had not yet responded.

Survey templates are presented in Volume 6, Appendix VIII and a summary and analysis of each of the surveys is available in Volume 6, Appendix IX.

A total of 415 people responded to our surveys. The surveys had strong response rates, detailed in Table ii.2 below:

Table ii.2   Response rates for online surveys

CENTRE	INTERNAL STAFF SURVEY	EXTERNAL STAKEHOLDER SURVEY
DCAF	67%; 147 responses	43%; 63 responses
GCSP	84%; 56 responses	43%; 59 responses
GICHD	76%; 45 responses	39%; 45 responses

In-country and virtual field missions

In order to have a better understanding of how the Centres work, the evaluation team conducted two in-country and two virtual field missions. The findings of these missions are presented in illustrative vignettes in Volume 6, Appendix X. In this first draft, we have presented the vignettes for Mali and Lebanon. The vignettes for Ukraine and Tunisia will be submitted on 27 March 2018.

The countries were selected on the basis of evidence that at least two of the Centres ran programmes in country and on the advice and input of the Centres and the CdP, as well as the feasibility and security of travel for the evaluation team.

Table ii.3   In-country missions

COUNTRY	TYPE OF MISSION	CENTRE IN FOCUS	# STAKEHOLDERS CONSULTED
Ukraine	In-country	DCAF, GICHD and GCSP	22

COUNTRY	TYPE OF MISSION	CENTRE IN FOCUS	# STAKEHOLDERS CONSULTED
Mali	In-country	DCAF	16
Lebanon	Virtual	DCAF, GICHD	9
Tunisia	Virtual	DCAF, GCSP and GICHD	8

The Ukraine mission provided the most comprehensive insight into the Centres work in country and how they collaborate in country. One evaluation team member travelled to Ukraine between 12 and 15 February 2018, supported by a national consultant. The consultants reviewed relevant documentation provided by the Centres before the mission. Interviews took place with government officials, regional organisations (NATO, OSCE), UN agencies, civil society organisations and think tanks who work with the Centres in Ukraine.

The Mali mission took place between 7 and 9 March 2018. One evaluation team member travelled to Mali and undertook interviews with Ambassadors of partners and donors of the Centres, civil society organisations, government officials and members of the National Assembly. The consultant reviewed relevant documentation provided by the Centres before the mission.

The virtual missions were desk based and entailed telephone interviews and a review of relevant documentation from each of the Centres.

Limitations

There are challenges inherent in undertaking such a complex evaluation of three distinct centres at the same time, while also assessing the synergies and comparisons between them. The evaluation team encountered some limitations when conducting data collection and analysis:

- There is a potential for stakeholder bias. We consulted 151 people about this evaluation and surveyed 415. We took every opportunity to speak to stakeholders outside of the human resources of the Centre, for example, by administering a separate survey aimed at collecting the views of donors, government partners, implementing partners, intergovernmental organisations and peer organisations. The external survey had a modest response rate at an average of 41% and not all external stakeholders approached were able to participate in interviews. The field missions also spoke mainly to external stakeholders. Overall external stakeholders counted for 167 respondents to the surveys and 49 interviewees. However, these were stakeholders chosen by the Centres themselves, leading to a potential for stakeholder bias.

- Apart from DCAF, the Centres have a limited presence in the field. This made choosing relevant countries for the field missions and the collection of data relevant to the questions in the evaluation matrix challenging. We worked hard with the Centres and the CdP representatives to choose countries that were both feasible and useful. Nevertheless, there are limitations to the utility of the field missions and the extent to which they were able to inform the findings of the reports for each of the Centres.

- The Centres are all at different moments in their development. For DCAF, this was not an opportune time to undertake an evaluation; DCAF initiated major management restructuring in January 2017 and is in the midst of renewing its management approach, policies and processes. As the change is so near the end of the evaluation period (30 June 2017), the reforms are yet to bear fruit, making the evaluations conclusions less solid for forward planning than they would have been had the evaluation taken place further into the renewal process, such as in the case of GCSP.

Appendix III Evaluation Matrix

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
Relevance	1.1 How do the Centres manage trends and operate strategically?	1.1.1 How do the Centres anticipate and analyse contemporary and future trends and developments in their respective areas of activities? 1.1.2 How do the Centres anticipate and analyse existing needs and trends among the international stakeholders (e.g. governments, relevant international organisations, NGOs, private actors)? 1.1.3 How do the Centres anticipate and analyse major donors' strategies and trends in the relevant domains of excellence? 1.1.4 How is the analysis of the aforementioned developments, needs and donors' strategies and trends reflected in the respective strategies of the Centres and used for the corporate development? 1.1.5 Are the Centres fit to work in fragile contexts? I.e. are the Centres well equipped, structured and staffed in order to work in fragile contexts? Do they have conflict sensitivity integrated on institutional and operational levels and is their work guided by comprehensive risk analysis and management?	Evidence of internal research activities and exchanges with key partners to analyse future trends and developments Evidence of exchanges with international stakeholders to assess needs Evidence of exchanges with donors on approaches to relevant themes Evidence that research and needs assessment have supported strategic orientation and development of the centre e.g. up to date context section in strategies Evidence of procedures to manage and transfer knowledge within each organisation Degree of alignment of Centres' strategies with major trends identified by external stakeholders and extant literature	Centres' annual strategic plans & annual reports Project documentation: activities and project reporting Extant literature in each of the Centres' areas Perceptions of external stakeholders Perceptions of members of the councils of foundation, as well staff of each Centre Course schedule (GCSP)	Document review Phone or in-person interviews with key staff and members of the Foundations of the Council Survey with Centres' staff Survey with external stakeholders Field visits
	1.2 Are the Centres'	1.2.1 Do the contributions of the Centres meet the needs expressed by the Swiss	Degree of alignment between mid-year activity	Federal dispatch Framework	Document review Interviews with

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	contributions relevant for the Swiss Confederation Security and Foreign Affairs?	Confederation (e.g. through the dispatch 2014 to the Parliament, the framework agreement or the annual service agreements)? 1.2.2 Is the respective period of the strategies in line with the period of the Swiss legislative period (2012-2015 and 2016-2019)? 1.2.3 In case of non alignment, what measures have been, or could be taken to improve and synchronise the periods?	report and annual reports and Switzerland's strategy for International Cooperation Degree of alignment of strategies with Swiss legislative period Utility of Inputs by Centres as perceived by Swiss Confederation e.g. in relevant UN-fora in Geneva Perceptions of Council and management stakeholders of measures to improve and synchronise periods Evidence of measures taken to synchronise periods	agreement Annual service agreements from 2014-2017 Mid-year and annual reports for each of the Centres Strategic documents (e.g. Security Political Report 2016, Mine Action Strategies) Foundation Council and Bureau minutes Foundation Council and Bureau members	senior officials and members of the Councils of the Foundations
	1.3 How are the Centres perceived on the international arena?	1.3.1 How are the Centres' roles, performances, services and contributions perceived and assessed in the international context, in particular by different stakeholders (donors, customers, partners), such as States, international, regional, national and non-governmental organisations? 1.3.2 How are the Centres perceived by donors/potential donors with regard to their functionality towards the implementation of relevant donor policies?	Perceptions of external stakeholders on strengths and weaknesses of Centres' roles, performances, services and contributions, including hosting of implementation support units in case of GICHD Degree of perceived alignment between donor policies and the Centres operations/programmes	Perceptions of external stakeholders M&E documents	Phone/Skype interviews Document review Survey with external stakeholders
	1.4 Have the Centres been able	1.4.1 How do the Centres manage to	Qualitative evidence of a change in perceptions of	Perceptions of staff of each Centre at	Interviews

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	to raise their profiles and generate further synergies?	raise their profiles? 1.4.2 Have the Centres taken active measures to sharpen their respective profiles, also with a view to promote synergies among themselves and with other partners within the Maison de la Paix? 1.4.3 What has the move into the Maison de la Paix implied in the short and long term for the Centres' work? 1.4.4 What potential synergies exist with regard to joint products, processes which have not yet been addressed? 1.4.5 What measures have been taken, and what measures are planned?	stakeholders over evaluation period with regards to the profiles of the Centres Evidence of increased demand E.g. number of trainings given, number of people trained, etc. Existence of specific projects and collaboration to establish synergies between the Centres in the Maison de la Paix Evidence of how the Centres have planned how to use/are using CHF 1.4 million indicated by Federal Dispatch for joint projects – number of joint projects initiated during evaluation period Perceptions of internal stakeholders on effective, planned and potential future synergies	HQ and in the field Each Centre's strategic documents, annual reports and documents on partnerships Each Centres' M&E reporting	SWOT workshop Field visits Document review Survey with Centres' staff
	1.5 How is gender taken into consideration within the Centres programme and policies?	1.5.1 How is gender taken into consideration into the Centres activities? 1.5.2 How is gender taken into consideration into the Centres programmes?	Evidence of disaggregation of data in M&E for activities Evidence of inclusion of gender considerations in design and implementation of activities/programmes Evidence of connection to the Gender Diversity Hub	Perceptions of staff of each Centre at HQ and in the field Each Centre's documents of programme design and implementation,	Interviews SWOT workshop Survey with Centres' staff Survey with external stakeholders Samples of project

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
			Alignment of centre activities with implementation of UNSC Resolution 1325	M&E reports Perceptions of external stakeholders	proposals by Centres
Relevance/ Specific to GCSP	1.6 Are the thematic focus and services of the GCSP relevant?	1.6.1 Are the thematic focus and the service offered by GCSP appropriate, dynamic and competitive? Is it in line with its statutory tasks and the ones defined in the federal dispatch 2016-19 (particularly with regard to training, analysis and dialogue facilitation)? 1.6.2 Does the GCSP offer appropriate training methods that meet today's requests by the international civil and military clients? 1.6.3 Does e.g. GCSP have a similar security political analysis as Switzerland in its 2016 security political report?	Degree of alignment between GCSP strategy and services and Federal Dispatch Perceptions of beneficiaries on the appropriateness and relevance of GCSP training methods offered	Federal dispatch GCSP strategy documents GCSP course catalogue and work plans Perceptions of staff of each Centre at HQ and in the field Perceptions of external stakeholders Monitoring of perceptions of GCSP beneficiaries through M&E of training	Document review Interviews with Centre's management and staff SWOT workshop Field visits Survey with Centres' staff Survey with external stakeholders
Relevance/ Specific to GICHD	1.7 Scope, new developments, opportunities and risks	1.7.1 Is the scope of the thematic and country-specific offerings of GICHD adequate, contemporary and effective, considering the evolving working context? 1.7.2 How does the GICHD integrate new developments in the domain of mine action (and explosive threat reduction in general), both on a global level and on a country-specific level? 1.7.3 What are the opportunities and	Evidence of context analysis and adjustments in GICHD activities Evidence of integration of new developments in the domain of mine action Perceptions of key stakeholders of opportunities and risks with regard to expanding GICHD scope	Extant literature on demining in countries chosen for field visits Perceptions of HQ staff and managers Perceptions of external stakeholders	Document review Interviews SWOT Survey with Centre staff Survey with external stakeholders Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		risks the GICHD to expand the scope of its work beyond the traditional mine action sector? 1.7.4 Do the operational activities of GICHD also correlate with Switzerland's vision in the Mine Action Strategies?			
Relevance/ Specific to DCAF	1.8 Donors contribution	1.8.1 How are the donors included in strategic and thematic discussions? Is there room for improvement? Are the structures adequate for donor commitment?	Evidence of donor involvement in strategic and thematic discussions Degree of donor satisfaction with current processes for involvement	Perceptions of donors Perceptions of management Governance documents and minutes	Interviews Document review
Effectiveness	How effective are the Centres' strategies and processes?	2.1.1 Do the Centres have a formalised and transparent strategy development and respective strategy implementation process? 2.1.2 Have appropriate structures, programmes and priorities been set to promote the strategic objectives? 2.1.3 How do the Centres manage their core processes and, if necessary, do they take corrective action? 2.1.4How do the Centres communicate in the implementation of their strategies? 2.1.5 How do the Centres address the potential to develop a joint-IT policy or to use synergies with regard to logistics?	Evidence of processes for strategic development, implementation and review Satisfaction of internal stakeholders with international communication of strategy implementation Evidence of coordination between the centres on joint IT policy or other joint infrastructure policies Level of satisfaction of internal stakeholders with coordination between centres on joint policies and processes	Strategic documents for each Centre Annual reports for each Centre Programme evaluations for each Centre Perceptions of staff of each Centre at HQ and in the field	Interviews Survey with Centre staff SWOT workshop
	2.2 How effective have the Centres	2.2.1 How do the Centres measure the relevance of their services/contributions	Evidence of design and implementation of key	Annual reports, programme MM&E	Document review

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	been in monitoring their goals, programmes and expected outcomes? Do they integrate RBM in their operations?	towards the respective goals and purposes and the progress of their strategy implementation? 2.2.2 How do they monitor and evaluate implementation and results? 2.2.3 How do the Centres learn and adapt based on their measuring and monitoring of the results? 2.2.4 How do the Centres assess the accuracy and the progress of their strategy implementation? 2.2.5 How did the Centres manage the integration of RBM within their operations?	components of an RBM system Evidence of design and implementation of effective monitoring mechanisms, if no RBM system in place Evidence of processes for feedback, learning and adaption on basis of monitoring and evaluation measures	reports RBM policy guidelines Perceptions of programme staff and management at HQ and in the field	Interviews Survey with Centre Staff SWOT workshop
	2.3 Are the governance structures of the Centres adequate for an effective implementation of their respective strategies?	2.3.1 Do the governance structures of the Centres support efficient and effective implementation of their respective strategies? 2.3.2 Are the management and governance structures and procedures of the Centres adequate with the regard to the size and the nature of the Centres? 2.3.3 Are the governance structures and procedures of the Centres adequate with regard to the working context and to the donor relations, the current funding situation and the financial risk of the respective Centre?	Evidence of structures, policies, procedures and processes supporting the implementation of strategies Perceptions of Council and Centre management of effectiveness of governance structures *Note: This question will rely on the basis of the Management Responses of the 2014 evaluation*	Governance documents (e.g. Statutes/by-laws and regulations ...etc.) of Bureau/ Foundation Councils Perceptions of Council (Foundation Council and Bureau) members Perceptions of management staff Perceptions of external stakeholders (partners, donors)	Interviews with Foundation Council members Interviews with Bureau-members Document review SWOT workshop with management staff

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	2.4 Are the governance structure of the Centres flexible and responsive? *This question will rely on the basis of the* <u>*Management Responses of the 2014 evaluation*</u>	2.4.1 Have any adjustments of governance structure taken place since mid-2014, or are there any concrete plans to make such adjustments? 2.4.2 Have the positions of both the Council of Foundation and their Bureaus being strengthened in the past? And does the strengthening allow a better risk analysis and management than before? 2.4.3 Are the organisational structures dynamic and flexible enough to be adapted to new challenges in the future or temporary assignments? 2.4.4 Are standardised reporting processes including effectual correction procedures in place?	Evidence of activities undertaken to strengthen the Councils and their Bureaus, as well as each Centre, e.g. changes in statutes, processes, membership during the evaluation period Degree of satisfaction of Council members and management of the Centres with the adaptability of governance structures Evidence of follow up on governance recommendations in 2014 evaluation	Governance documents (e.g. Statutes/by-laws and regulations …etc.) of Bureau/ Foundation Councils Perceptions of Foundation Council and Bureau members Perceptions of management staff	Interviews with the Centres management and partners Documentary review SWOT workshop with management staff
	2.5 To what extent have the results of the Centres so far contributed to the achievement of their objectives?	2.5.1 To what extent have strategic objectives been reached? 2.5.2 Do the outcomes (products and services) of the Centres meet the needs and expectations of respective stakeholders?	Degree of achievement of objectives through comparison of strategic plans, annual reports and workplans Evidence of use of products and services by beneficiaries and external stakeholders Perceptions of stakeholders	Strategic plans Annual reports and workplans Perceptions of managers and beneficiaries Evidence from existing MM&E reports on beneficiary perceptions and use	Document review Interviews with staff and partners SWOT workshop Survey with Centre staff Survey with external stakeholders
	2.6 Programme effectiveness/ Specific to GCSP	2.6.1 What are the concrete outcomes as a result of GCSP activities? Has the GCSP in particular extended its course	Degree of achievement of outcomes of GCSP activities based on comparison of	Strategic plan Annual reports Programme M&E	Document review Interviews SWOT workshop

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		programme and the circle of potential customers?	strategic plans with annual reports and other M&E reports Number of customers at beginning of evaluation period compared with number at the end of evaluation period, disaggregated by trends in participants' country of origin, level, civilian/military status Perceptions of managers and staff on degree of outcome achievement	documents Perceptions of programme managers Documentation on alumni	
	2.7 Programme effectiveness/ Specific to GICHD	2.7.1 What are the concrete outcomes (e.g. quality and benefit in the perception of donors and customers) as a result of GICHD activities? Is there a gap between Stakeholders expectation and the actual products and services offered by the Centres? 2.7.2 What is the GICHD's performance regarding its cooperation and coordination with other mine action actors, including governments, national authorities, UN agencies, research Centres, operators, and other relevant organisations? 2.7.3 Is the hosting of the Implementation Support Unit to the Anti-Personnel Mine Ban Convention and the Implementation Support Unit to the Convention on Cluster Munitions	Degree of achievement of outcomes of GICHD activities based on comparison of strategic plans with annual reports and other M&E reports Evidence of use of products and services by beneficiaries and external stakeholders Perceptions of stakeholders on expectations and products/services offered Perceptions of managers and staff on degree of outcome achievement Perceptions on effectiveness of hosting	Programme M&E documents Programme products Perceptions of programme managers Perceptions of partners Perceptions of beneficiaries Hosting agreement between the GICHD and the ISU APMBC and the ISU CCM (resp. between the GICHD and the	Document review Interviews SWOT workshop Field visits Survey with Centre staff

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		functional?		States Parties for the ISUs)	
	2.8 Programme effectiveness/ Specific to DCAF	2.8.1 Has DCAF increased its collaboration with the United Nations, the international financial institutions (World Band, IADB), locally and regionally based strategic partner organisations and bilateral donors in the domain of security sector reform in terms of concrete products and services? 2.8.2 Has DCAF increased its support to police and justice-related and other SSR-related activities (globally or in specific countries) in terms of concrete products and services? 2.8.3 Is the scope of core competencies (thematic areas) and activity lines (services) adequate, contemporary and effective? 2.8.4 To what extent are the different departments of DCAF (including ISSAT) contributing to the overall DCAF objectives? 2.8.5 What types of immediate and intermediate outcomes can be observed as a result of DCAF's support to national and international actors in line with its corporate results framework? 2.8.6 Did DCAF manage to adopt a holistic approach to SSR and is its engagement strategic (influencing policy and programming, coordinated/joint approaches, sustainability etc.)?	Number of collaborative outputs with UN and multilateral partners at beginning of evaluation period compared with end of evaluation period Number of police-related and other SSR-related outputs at beginning of evaluation period compared with end of evaluation period Perceptions of management and staff on effectiveness of scope of thematic areas and services Spread of portfolio of activities between departments Degree of achievement of outcomes of GCSP activities based on comparison of strategic plans with annual reports and other M&E reports Perceptions of management and staff on degree of achievement of outcomes (immediate and intermediate)	Federal dispatch Programme M&E documents Programme and strategy documents Programme products Perceptions of programme managers Perceptions of partners Perceptions of beneficiaries	Document review Interviews SWOT workshop Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		2.8.7 How is DCAF positioning SSR in the area of 2030 Agenda on Sustainable Development and the sustaining peace and prevention agenda in terms of concrete products and services?			
Efficiency	3.1 Are the Centres' financial sources being diversified and used in an optimal manner?	3.1.1 Have the financial sources for the three Centres been diversified adequately and to which extent? 3.1.2 Have the share of funds by other donors (not the Swiss Confederation) reached or surpassed the defined thresholds (GCPS: min. 15%; GICHD: min. 25%: DCAF: Min. 45% of the total revenue through contributions by other donors)?	Extent of diverse financial sources as a percentage of overall financial resources compared with defined thresholds	Financial information in annual reports Notes from the Steering Committee and FDFA Notes from the Foundation Councils	Document review Interviews
	3.2 Are the Centres optimising financial and human resources?	3.2.1 Do the Centres apply adequate financial management and control procedures, according to national and international standards? 3.2.2 Do the Centres make optimal use of the financial and human resources to produce the expected outcomes? 3.2.3 How do the Centres assure funding with mid-term and long-term perspectives?	Degree of alignment between Centre procedures and national and international standards for financial management and control Perception of adequacy between number of each Centre programme activities and human resources allocated Evidence of financial projections for mid- and long-term perspectives	External audit reports of each Centre Documents outlining financial management and control procedures of each Centre Perceptions of management staff for each Centre Perceptions of Council (Foundation Council and Bureau) members	Interviews Document review SWOT workshop with managers Survey with Centre staff
	3.3 Is there an	3.3.1 Is the proportion of personnel	Comparison between	Strategic plans	Interviews

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	adequate balance between core and external experts?	expense between core experts (permanent staff) and external experts (temporarily mandated) adequate, measured in terms of outcome? 3.3.2 Are the profiles of the experts of the Centre's adequate to the needs? Are there gaps?	desired outcomes in strategic plans and spread of staff expertise Perception of adequacy between experts' profiles and Centres' operations	Human resources plans and related documents Financial documentation Perceptions of management staff at each centre	Documentary review SWOT workshop with managers Survey with Centre staff Survey with external stakeholders
	3.4 Efficiency/ Specific to DCAF	3.4.1 To what extent have the organisational structure and internal policies been efficient and contributed to the effective delivery of the Centres' strategies over the period under review?	Level of satisfaction of staff and management with structure and policies	Organigram Internal policies and strategies Perceptions of management staff	Documentary review SWOT workshops Interviews Survey
	3.5 Efficiency/ Specific to DCAF	3.5.2 What has changed in terms of organisation structure and internal policies since the 1st of January 2017? Are these measures adequate in order to contribute in a more effective an efficient way to the overall DCAF objectives?	Evidence of changes in organisational structure and policies since 1st January 2017 Level of satisfaction of staff and management with structure and policies	Organigram Internal policies and strategies Perceptions of management staff	Documentary review SWOT workshops Interviews Survey with Centre staff
Sustainability	4.1 Can the operations and initiatives of the three Centres lead to some degree of sustainability?	4.1.1 To what degree does the completion of an intervention lead to a lasting change?	Evidence of sustained improvements in relevant contexts in countries where Centres have been operating Evidence of or belief amongst stakeholders of the contribution of Centres to relevant changes in context/situation in	M&E documents for programmes Perceptions of programme managers and staff at HQ and field level Perceptions of beneficiaries?	Interviews Documentary review Survey with Centre staff Survey with external stakeholders Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
			countries where Centres have been operating		SWOT analysis
		4.1.2 Do the beneficiaries continue to benefit from the interventions after the completion of an intervention?	Evidence of use of knowledge/product/service by beneficiaries after intervention Evidence that beneficiaries believe the intervention has influenced their behaviour	M&E documents for programmes Perceptions of programme managers and staff at HQ and field level Perceptions of beneficiaries?	Interviews Documentary review Survey with staff Survey with external stakeholders Field visits SWOT analysis
		4.1.3 What is the level of independent ability of a partner/government to continue the intervention after the Centre's support is discontinued?	Evidence of continuation of intervention by partner/government in selected countries	M&E documents for programmes Perceptions of programme managers and staff Perceptions of beneficiaries?	Interviews Documentary review Survey with staff Survey with external stakeholders Field visits SWOT analysis
	4.4 Are the Centres planning for their future?	4.4.1 Is the workforce adequate in terms of quality and quantity in order to implement the strategy, tasks and achieve the goals of the Centres? 4.4.2 Have the Centres implemented a formalised lessons learned (continuous improvement) process on the strategic level and based on regular checks, including measures to correct / improve unwanted developments?	Perceptions of management staff on the adequacy of workforce for the Centre in the future Evidence of processes to input lessons learned to operations and activities	Strategy and TOR for key staff HR policy and development documentation Perceptions of management staff	Documentary review SWOT Workshops Interviews

Appendix IV List of consulted stakeholders

During the evaluation, the evaluation team undertook one to one interviews, as well as leading SWOT workshops with groups of staff. Those interviewed were often – but not always - part of SWOT workshops. As such, we have listed those interviewed and those participating in workshops separately. However, in our count of the final number of people consulted listed in the description of the methodology in Appendix II, we have only counted each individual once.

1. GICHD

Interviews

NAME	POSITION
Becker, Martial	Assistant Director and Head of Division
Bold, Mikael	IMAS Secretariat (Former Head)
Bonnet, Marc	Head, Risk Management Division
Clarke-Schaller, Laurence	Human Resources Manager
Cottray, Olivier	Head, Information Management
Decaillet, Stephan	Financial Controller
Elias, Rana	Regional Cooperation Coordinator
Haering, Barbara	President of the Foundation Council
Hall, Tammy	Head of the Strategies and Standards Division
Loj, Gosia	RBM Manager
Maspoli, Gianluca	Advisor, Policy
Massleberg, Asa	Advisor, Strategic Management
Rapillard, Pascal	Head, external relation and Policy division
Rhodes, Guy	Director of Operations
Toscano, Stefano (Ambassador)	Director

SWOT Workshops

NAME	POSITION
Clarke-Schaller, Laurence	Human Resources Manager
Damjanovic, Stanislav	Advisor, Land Release and Operational Efficiency
Décaillet, Stephan	Financial Controller
Donatz, Jakob	Programme Officer

NAME	POSITION
Elias, Rana	Regional Cooperation Coordinator
Hofmann, Ursign	Policy Advisor
Massleberg, Asa	Advisor, Strategic Management
Repond, Jérémy	Policy and External Relations Officer
Vinek, Elisabeth	Information Management Support Coordinator
von Siebenthal, Andrea	Public Relations
White, Rob	Advisor, Strategic Management and Residual Contamination

Implementing Support Units and Gender Mine Action Programme

NAME	POSITION
Calza Bini, Arianna	Director, Gender Mine Action Programme
Bold, Mikael	IMAS Secretariat (Former Head)
Mweemba, Sheila	ISU-CCM Director
Provencher, Marion	Junior Programme Officer, Gender Mine Action Programme
Ruan, Juan Carlos	ISU-APMBC Director

2. DCAF

Interviews

NAME	POSITION
Ayman, Ayoub	Deputy Head of Middle East & North Africa Division
Badreddine, Sami	Senior Advisor on Media Relations, DCAF Tunis
Bennett, Anne	Deputy Head, Sub Saharan Division
Born, Hans	Head Division Policy & Research
Boujeh, Vidette	Legal Database Programme Manager, DCAF Tunis
Bradley, Véronique	Head, Human Resources
Bryden, Alan	Division Public-Private Partnerships
Buchmayer, Stefan	Tunisia Head of Mission, DCAF Tunis
Cellino, Andrea	Head North Africa Desk
Cole, Eden	Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Cuénod, Jean-Francois	Secretary; Head of South Cooperation, SDC
Dallafior, Sabrina (Amb)	Treasurer, Permanent Representative to the Conference on Disarmament, Treasurer GICHD

NAME	POSITION
de Torres, Daniel	Assistant Director, Policy and Research Department, Head of Gender and Security Division
Downes, Mark	Head Of Operations Department
Duerst, Patrick	Project Officer, Policy and Research Division
Farha, Sarah	Assistant, Human Resources Department
Fluri, Philipp	Head of Eastern Europe, South Caucasus, Central Asia Division
Gorret, Jordane	Junior Accountant, Administration, Financial Resources, Resources Department
Guerber, Thomas	Director, Ambassador
Hänggi, Heiner	Deputy Director, Head of Policy & Research Department
Hvidemose, Dorte	Project Coordinator, Middle East and North Africa Division
Kays, Rabieh	Senior Project Manager, DCAF Lebanon
Kobrovsky, Yury	Advisor to the Director
Leuthold, Arnold	Head of MENA division (with 4 country offices)
Miccichè, Claudia	Coordinator, Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Morand, Jolie-Ruth	Project Coordinator, Sub-Saharan Africa Division
Mueller, Daniel	Head, Financial Resources
Niakate, Mahamadou	National Expert (Mali), Inspecteur Général de Police (ER)
O'Brien, Elizabeth	Performance Management and Reporting Officer, ISSAT
Scherrer, Vincenza	Deputy Head, Policy and Research Division
Walker, Victoria	Head Of ISSAT, Assistant Director DCAF

Swot workshops

NAME	POSITION
Ayman, Ayoub	Deputy Head of Middle East & North Africa Division
Bennett, Anne	Deputy Head, Sub Saharan Division
Born, Hans	Head of Policy and Research Division (PRD)
Bradley, Véronique	Head of HR Unit (RES)
Bryden, Alan	Head of Division Public Private Partnerships (PRD)
Cole, Eden	Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
De Torres, Daniel	Head of Gender and Security Division (PRD)
Downes, Mark	Head of Operations Department

NAME	POSITION
Evans, Thammy	Deputy Head of ISSAT (ISSAT)
Fluri, Philipp	Head of Eastern Europe, South Caucasus, Central Asia Division
Fritz, Antje	Deputy Head of Division, Operations Department
Ghittoni, Marta	Project Assistant, Policy and Research Department
Guerber, Thomas	Director
Hanin, Antoine	SSR Advisor, ISSAT
Hanngi, Heiner	Deputy Director and Head of Policy and Research Department
Hoyos, Cristina	Head of Unit LAC (OPS)
Hvidemose, Dorte	Project Coordinator, Middle East and North Africa Division
Lala, Anicia	Senior SSR Advisor, ISSAT
Luethold, Arnold	Head of Division MENA (OPS)
Miccichè, Claudia	Coordinator, Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Morand, Jolie-Ruth	Project Coordinator, Operations Dpt
Mueller, Daniel	Head of Finance Unit (RES)
Priajina, Karina	Project Officer, Operations Dpt
Scherrer, Vincenza	Deputy Head of Division, Policy and Research Dpt
Schnabel, Albrecht	Head of Unit Asia-Pacific (OPS)
Stancic, Darko	Head of Division Southeast Europe (OPS)
Stitzel, Vanessa	Project and Finance Officer, ISSAT
Walker, Victoria	Head of ISSAT

3. GCSP

Interviews

NAME	POSITION
Allard, Julie	Project Coordinator, Director's Office
Al-Rodhan, Nayef	Head of Geopolitics and Global Futures Programme
Bühlmann, Christian	Head of Regional Perspectives Programme
Bultot, Amélie	Junior Programme Officer, Senior Executive Team- idem
Calmes, Priscilla	Head of Human Resources, Operations and Support Services
Dallafior, Sabrina	Ambassador, Permanent Representative of Switzerland to the Conference on Disarmament (Geneva), Treasurer of the Foundation Council

4. Swiss Confederation

Comité de Pilotage

NAME	POSITION
Dallafior, Sabrina	Ambassador, Treasurer of the Foundation Councils GCSP, GICHD and DCAF
Diethelm, Robert	Head, Multilateral contracts and relations with armed forces, DDPS
Grau, Heidi	Ambassador, Head, Human Security Division, Directorate of Political Affairs, Federal Department of Foreign Affairs (Berne), Secretary of the Foundation Council
Grütter, Frank	Ambassador, Head of the Division for Security Policy - FDFA
Müller, Derek	Head of the South Asia and Conflict & Human Rights Division - SDC
Gansner, Patrick	Head, Strategic and international affairs, DDPS

Steuergruppe

NAME	POSITION
Antille, Pierre	Deputy Head, Strategic and international affairs
Frei, Peter	Scientific Collaborator, Regional Military Cooperation
Garraux, Francois	Deputy Head of Section, Multilateral Peace Policy - Federal Department of Foreign Affairs
Ilias, Fouad	Political Affairs Office Division for Security Policy - FDFA
Schaefer, Marcus	Head of Regional Military Cooperation
Schmid, Regula	Human Security Division, Ministry of Foreign Affairs

FDFA / DDPS Representatives

NAME	POSITION
Antille, Natacha	Head, Peace policy II section– DFAE
Cuénod, Jean-Francois	Secretary; Head of South Cooperation, SDC
Cuénoud, Jonathan	Legal Adviser - FDFA
Friedman, Rémy	Senior Advisor - Desk Human Security and Business - FDFA
Junker, Adrian	Scientific collaborator, Disarmament and non-proliferation
Lopez, Martha	Human Security Division, Ministry of Foreign Affairs, FDFA
Palmoso, Alessandro	Programme Officer, Humanitarian policy section
Rizzo, Claudia	Desk Officer, Training and Capacity Development - FDFA
Rosemann, Nils	Senior Advisor Conflict and Human Rights

NAME	POSITION
Siegrist, Michael	Legal expert, IHL and international criminal justice
Stössel, Gian-Luca	Security Policy Division, FDFA
Willi, Lucas	Regional Human Security Advisor, Swiss Embassy in Mali
Wollenmann, Reto	Deputy Head Section Arms Control and Disarmament - FDFA

5. Stakeholders external to the Geneva Centres (donors, partners)

NAME	TITLE AND ORGANISATION	REGARDING
Abdoul Aziz, Mahamadou	Chef de Cabinet, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Altyntseva, Natalia (Lt Col)	Deputy Head, International collaboration, Security service of Ukraine	GCSP
Bachmann, Robert	Human Security Advisor, Embassy of Switzerland to Ukraine and Moldova	DCAF/GICHD
Bevz, Colonel Andrii	Deputy Head of Division for organization of humanitarian demining, Emergencies Response Department, State Emergency Service of Ukraine (SESU)	GICHD
Bila, Kateryna	Head of Division for Non-proliferation and Arms Control, International Security Department, Ministry of Foreign Affairs	GICHD/DCAF/GCSP
Cuthbert, Col (Ret.) Andrew	Adviser on Parliamentary Affairs, NATO Representation to Ukraine, NATO Liaison Office	DCAF/GICHD
Dakouo, Ambroise	Coordinator, Governance Specialist, ARGA – Alliance Malienne pour la Gouvernance en Afrique	DCAF (Mali)
Diallo, Ibrahima	Commissaire, Inspecteur Général, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Dombwe, Céleste	Commissaire Divisionnaire, point focal « Genre », Direction générale de la Police nationale	DCAF (Mali)
Erlich, Jeffrey	Deputy Head of Mission, OSCE PCU	DCAF/GICHD
Friz, Iryna	MP/Chairperson of the Subcommittee of Verkhovna Rada of Ukraine on National Security and Defence. Head of the Ukrainian parliamentary delegation to the NATO Parliamentary Assembly	DCAF
Gladkyy, Oleksandr	National Project Officer, Politico-Military Dimension OSCE PCU	DCAF
Irwin, Sharon	Deputy Director, NATO Representation to Ukraine, NATO Liaison Office	DCAF/GICHD

NAME	TITLE AND ORGANISATION	REGARDING
Keita, Boubacar	Chargé de programmes/Alerte précoce, West Africa Network for Peacebuilding (WANEP)	DCAF (Mali)
Lababbidi, Ahmad (Col.)	Programme Coordinator, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Lupan, Viktoria	WASH Officer, UNICEF office in Ukraine	GCSP
Massih, Marie Abdel (Col.)	Media & Mine Risk Education Section Head, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Melnyk, Oleksiy	Co-Director, Foreign Relations and International Security Programmes, Razumkov Centre	DCAF
Nasr, Ziad (Brig. General)	Director, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Pokas, Georgios	Head of Operations, OSCE SMM	GICHD
Polyakov, Leonid I.	Chairman of the Expert Board, Center for Army, Conversion and Disarmament Studies (CACDS)	DCAF
Risser, Hans	Director, Norwegian People's Aid	GICHD
Rokun, Serhiy (Col.)	Deputy Head, Environmental and Mine Action Department; Head of Mine Action division, Ministry of Defence	DCAF/GICHD
Ruestsche, Norbert	Senior Advisor to the Minister, Ministry for Temporarily Occupied Territories and Internally Displaced Persons of Ukraine (MTOT)	DCAF/GICHD
Ruffy, Roger	Deputy Head of delegation, ICRC	GICHD
Sarzano, Roberta	Weapon Contamination Coordinator, ICRC	GICHD
Semionov, Mihail	Senior Mine Action Officer, OSCE SMM	GICHD
Shahramanyan, Yuri	Programme Manager, HALO Trust	GICHD
Sogoba, Daouda (Colonel-Major)	Inspecteur en chef, Ministère de la Sécurité et de la Protection Civile	DCAF (Mali)
Sow, Abdoulaye Modibo	Chef de Cabinet, DG Gendarmerie Nationale	DCAF (Mali)
Späti, Christoph	Deputy Head of Mission, Embassy of Switzerland to Ukraine and Moldova	DCAF/GICHD
Thera, Boubacar	National Coordinator, West Africa Network for Peacebuilding (WANEP)	DCAF (Mali)
Togola, Sounkalo	Chef du Bureau Communication, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Tsermolonsky, Oleh	Desk Officer for China, Ministry of Foreign Affairs	GCSP
Vahtaric, Miljenko	Technical Adviser on Mine Action, OSCE PCU	GICHD
Verbiest, Fleur	Second Secretary, Embassy of the Netherlands in Mali	DCAF (Mali)

NAME	TITLE AND ORGANISATION	REGARDING
Watson, Hugh	First Secretary/Legal Adviser, Australian Permanent Mission to the United Nations	GICHD
Winkler, Theodor	Former DCAF Director, DCAF Geneva	DCAF
Zubarevskiy, Sergey (Col.)	Coordinator of improvised explosive devices (IED) division, Ministry of Defence	DCAF/GICHD

Appendix V Interview Protocols

1. Interview protocol for Foundation Council Members

Notes to evaluator

a. Tailor all questions to focus on the Centre with which the respondent has the most experience. Where appropriate, specific questions for a particular centre are listed as sub questions and marked accordingly.

Introduction

Universalia is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

This interview will focus solely on the Centre with which you are most involved.

Questions

1) Please briefly describe your role on the Federation Council for DCAF/GCSP/GICHD and how long you have been involved with the Centre.

Relevance

2) In your opinion, how well does DCAF/GCSP/GICHD analyse and manage trends and developments in their field (both globally and at a country level)?

3) Is the scope of DCAF/GCSP/GICHD's thematic focus and services adequate? What is your understanding of DCAF/GCSP/GICHD's relative strengths and weaknesses compared to other organisations working in this field?

Effectiveness

4) How satisfied are you with the work of the Foundation Council in supporting the Centre (providing strategic direction, financial oversight, risk analysis, programmatic support, monitoring/evaluation and reporting)?

5) Have there been any changes to the structure or workings of the Foundation Council since you have been a member? Have positions been strengthened and has this changed the Council's capacity to support DCAF/GCSP/GICHD?

6) Do you think DCAF/GCSP/GICHD has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, ...etc.)?

Efficiency

7) Is DCAF/GCSP/GICHD working efficiently, in your opinion? E.g. Are financial sources being diversified and used in an efficient manner, e.g. on time and in budget? Are human resources being used efficiently? Are there adequate financial and management control procedures?

Sustainability

8) Is DCAF/GCSP/GICHD planning adequately for the future, in your opinion?

9) To what extent to you believe that DCAF/GCSP/GICHD's work leads to lasting change? Do you know of any examples of where interventions have had a sustainable outcome?

Thank you for your time.

2. Interview Protocol for Swiss Confederation civil servants

Swiss Confederation Civil Servants – Questions on GSCP, DCAF, GICHD

Notes to evaluator:

a. This questionnaire can be used for Swiss Confederation civil servants in the Federal Department of Foreign Affairs, the Department for Defence, Civil Protection and Sport and any other Swiss Government department as necessary. Please tailor question 1 as appropriate. Some questions are tailored to those respondents who are members of the CdP or StG and are marked accordingly in brackets before the question.

b. Tailor all questions to focus on the Centre with which the respondent has the most experience. Where appropriate, specific questions for a particular centre are listed as subquestions and marked accordingly.

Introduction

Universalia is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

1) Please briefly describe your role in the Federal Department of Foreign Affairs/Department for Defence, Civil Protection and Sport and your relationship with each of the Geneva Centres you are involved with.

Relevance

2) How well does GCSP/DCAF/GICHD analyse and manage trends and developments in their field (both globally and at a country level) and strategically operate in a competitive global landscape?

3) Is the thematic scope of GCSP/DCAF/GICHD's services or country-specific offerings adequate? What is your understanding of GCSP/DCAF/GICHD's relative strengths and weaknesses compared to other organisations working in the same field?

   – E.g. are they well positioned and prepared to work in fragile states, in your opinion? Are gender considerations adequately taken into account in their work?

— [for GICHD only] Do the operational activities of GICHD correlate with Switzerland's vision in its Mine Action Strategies?

4) Are the GCSP/DCAF/GICHD's contributions relevant for the Swiss Confederation Security and Foreign Affairs? Do they respond to your needs and expectations?

— Are they aligned with the Federal Dispatch in terms of content?

Effectiveness

5) [If respondent is part of the CdP or StG] How satisfied are you with the current governance structure of the Centre e.g. the ability of the CdP/StG to oversee the work of the Centre? Is work divided efficiently and effectively? Is there any overlap with the work of the Foundation Councils?

— Are you aware of any adjustments to the governance structure since mid-2014? Have there been any measures taken to strengthen the Foundation Council or its Bureau? How has this improved effectiveness?

6) Do you think the Centre has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place ...etc)

— [For DCAF only] What has changed in terms of organisational structure and internal policies since 1 January 2017? Are these measures adequate for DCAF to achieve its objectives effectively and efficiently?

— [for GICHD only] Is the hosting of the ISU for the AMBC and the CCM functioning satisfactorily from your perspective?

Efficiency

7) Is GCSP/DCAF/GICHD working efficiently E.g. Are financial sources being diversified and used in an efficient manner, e.g. on time and in budget? Are human resources being used efficiently? Are there adequate financial and management control procedures?

Sustainability

8) 10. Is GCSP/DCAF/GICHD planning adequately for the future, in your opinion?

9) 11. To what extent to you believe that GCSP/DCAF/GICHD's work leads to lasting change? Do you know of any examples of where interventions have had a sustainable outcome?

Thank you for your time.

3. DCAF staff interview protocols

Introduction

Universalia is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

1) Please briefly describe your position and role at DCAF and how long you have been with the Centre.

Relevance

2) In your opinion, how well does DCAF analyse and manage trends and developments in security sector reform? How well positioned is it going forward in the context of the 2030 agenda on Sustainable Development/sustaining peace and prevention agenda?

3) Is the scope of DCAF's thematic and country work relevant to the needs of international stakeholders (e.g. governments, other organisations, NGOs, private actor, donors?)

Effectiveness

4) **[only for staff in management roles/those familiar with governance]** How satisfied are you with the current governance structure of the Centre? (e.g. has the Foundation Council set and communicated a clear strategy? Does the Foundation Council help navigate donor relations and funding risks? Does it support the work of the Centre adequately?)

5) **[only for staff in management roles/those familiar with governance]** How has DCAF's governance structure changed over time? Have any adjustments taken place since mid-2014? Any measures taken to strengthen the Council or the Bureau? How have these changes improved governance effectiveness?

6) How satisfied are you with the management structure? What has changed in terms of organisational structure and internal policies since 1 January 2017? Are these measures adequate for DCAF to achieve its objectives effectively and efficiently?

7) Do you think the DCAF has been effective in achieving its objectives? What outcomes have actually been achieved, based on its corporate results framework, and what factors do you think have contributed to this? (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, departments have clear strategies or input into objectives, holistic approach to SSR ...etc.).

8) How well does DCAF collaborate with partners in the domain of security sector reform? (e.g. UN, IFIs, bilateral donors, local or regional partners?)

9) How effective has DCAF been in monitoring the implementation and results of your strategies and programs? Have you applied a results-based management system?

Efficiency

10) Is DCAF working efficiently from a financial perspective? e.g. on time and in budget? Adequate financial and management control procedures?

11) Are human resources being used appropriately? Is there adequate balance between core and external experts in terms of the outcomes you want to achieve? Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?

12) Has DCAF been able to generate synergies with the other Geneva Centres? What examples do you know of?

Sustainability

13) Do DCAF's operations and initiatives have any degree of sustainability? E.g. Do you have examples of where an intervention has lead to lasting change or the beneficiaries have continued to benefit from an intervention after its completion? What factors support or limit sustainability?

14) Is DCAF planning for the future? In terms of assuring funding for mid- and long- term? In terms of the composition of the workforce?

Thank you for your time.

Appendix VI Consolidated findings from SWOT workshops

1. DCAF

STRENGTHS	WEAKNESSES
DCAF staff are diverse in three ways: gender (more equal at operational levels than management levels); professional background, nationality.	Ongoing organisational reform needs time and patience to bear fruit. The organisational structure during the earlier part of this evaluation was seen as a weakness, particularly on HR, internal and external communications, delegation of responsibilities and slow, unclear decision-making processes, financial management and planning. The business model was top heavy.
DCAF has a unique organisational focus and profile (USP): works with and convenes diverse stakeholders in SSR/SSG; guided by the principle of local ownership; combines policy and practice; a learning institution that monitors results.	Sense that they are not using financial and human resources and data on these resources as efficiently as possible. Gender diversity at management levels is not as strong as at operational levels.
Strong network of experts, partners and donors. They believe they have positive donor relations, with long-term relationships (5-6 years) and with recipient states.	Still consolidating RBM and peer-to-peer learning across the organisation. This is not yet systematic across the divisions.
Field presence means that DCAF has the capacity to sustain long term operations in the field. They are also seen as a credible, trusted partner in county, with good access to information.	DCAF name is seen as political and not appropriate for the work that they do.
Credibility, quality and rigour of services and products.	There is a perception from Division Heads and operational staff that the decision-making processes are long, centralised and unclear.
Move to Maison de la Paix and the management reform process are supporting the development of a stronger, united DCAF. The move has given them a clearer sense of being "one DCAF" and helped with internal communications. However, still early to say what outcomes the reforms will have.	Legal personality in Switzerland can have an impact on how they are perceived by partners, the protections and status they are given in the field and the types of EU funding they are allowed to access. "Swissness" of the governance structure and how this affects how other states engage with them.
Good reputation and brand thanks to location and legal personality Switzerland – Swiss values of impartiality and neutrality permeate DCAF's identity and reputation. Seen as a trusted partner and honest broker.	Location in Geneva means that they have high overheads and constraining labour laws, particularly for junior staff.

STRENGTHS	WEAKNESSES
The move has also increased work with the other Centres, including through the Gender Hub, Peacebuilding Platform, joint events and publications.	

OPPORTUNITIES	THREATS
There are growing international needs on SSR/SSG	There is a proliferation of needs in fragile contexts, which DCAF does not necessarily have the capacity to operate in safely.
SSR/SSG is a key part of the SDG agenda through Goal 16	Donor demands are often focused on short term solutions, outputs rather than outcomes.
An expanding base of potential donors	Increasing privatisation of development work and proliferation of new organisations in SSR/SSG: private consultancies are also working in this space and have a very different approach and understanding. This could be complimentary but could also be competitive, particularly has DCAF has a lower capacity to compete in tendering processes than private firms.

2. GCSP

STRENGTHS	WEAKNESSES
Location in Geneva and Maison de la Paix. Neutrality creates a safe environment for participants and is important for the GCSP mandate.	Engagement of the 52 members of the Foundation Council with activities and fundraising.
Convening power and networks. Alumni from 165 countries collected into regional alumni hubs, 800 external experts and guest speakers, good relationships with international organisations (UN, NATO, etc).	Low visibility and lack of marketing capacity. GCSP name does not fully represent what they do. Most participants come to them via word of mouth. No strategy for publications and research in terms of marketing.
Good reputation and respected institution with quality, certified programmes and growing visibility internationally. There is a positive perception of the Centre among alumni and experts who are happy to be advocates for the Centre's work.	Funding dependency and fundraising capacity – 80% of their income is from Switzerland and they do not feel like they have a strong capacity to fundraise at the moment.
Diversity and know how of staff and participants – staff have expertise in methodologies of training, different professional backgrounds, nationalities, gender balance throughout the organisation.	Capacity to balance outreach to new clients with nurturing of existing ones.

Appendix VII List of Documents Consulted

Swiss Confederation

Minutes of the Comité de Pilotage 2014-2017
Message concernant un crédit-cadre pour la poursuite du soutien aux trois Centres de Genève due 17 novembre 2010, 10.095
Message concernant un crédit-cadre pour la poursuite du soutien aux trois Centres de Genève pour les années 2016 à 2019 du 19 novembre 2014, 14.091
Messages concernant la coopération internationale 2013-2016 (12.029) and 2017-2020 (16.022)
Swiss Anti Mine Strategies 2012-2015 and 2016-2019
Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva Centre for Security Policy (GCSP) for 2014, 2015, 2016 and 2017
Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva International Centre for Humanitarian Demining for 2014, 2015, 2016 and 2017
Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva Centre for the Democratic Control of the Armed Forces for 2014, 2015, 2016 and 2017
Brochure Suisse Etat hôte, DFAE, 2017
Letters
Letter from Ambassador Christian Meuwly, Head of the Swiss Mission to NATO to Ambassador Christian Dussey, Director of GCSP on 12 December 2017, "Cooperation entre la Mission Suisse auprès de l'OTAN et le GCSP"

DCAF

INTERNAL DCAF DOCUMENTS
Annual reports 2014 - 2016
Performance Report 2016
Audited financial statements 2014 - 2016
Annual
DCAF Statute and by-laws
Strategies
DCAF Strategy Paper 2016-2019

INTERNAL DCAF DOCUMENTS
DCAF Regional and Thematic Strategies 2017-2019
DCAF Assistance to Security Sector Reform in Tunisia. Country Strategy 2017-2019
DCAF Assistance Programme in Lebanon: Country Strategy 2017-2019
Documents relating to financial audits
Overview of measures taken or planned by DCAF as a follow up to the recommendations contained in the SFAO management letter "Audit de la subvention 2015 accordée par la Confédération suisse au DCAF". Undated
External evaluations
Channel Research. 5 April 2014. *Partner Assessment of DCAF – the Geneva Centre for the Democratic Control of the Armed Forces: Final Report*
Contrôle fédéral des finances. 27 March 2017. *Audit de la subvention fédérale accordée au Centre pour le contrôle démocratique des forces armées.* Direction politique et Direction du développement et de la coopération du DFAE
External Evaluation of DCAF 2010: Executive Summary
Van Essche & Associates. Information Mangement at DCAF – Short analysis and Road Map. 4 December 2016.
BL Meyer & Sanz. External evaluation of the DCAF Trust Fund for Security Sector Development Assistance in North Africa (TFNA) – final report. 11 April 2016
Charts
DCAF Organizational Structure as from 1 January 2017
Organisational Process Task Teams 1-4 v2. Undated
Correspondence
Exchanges between Ambassador Thomas Guerber to MR Didier Monnot and Mr Alexandre Blauer, Contrôle federal des finances
Internal policies
DCAF Corporate Communications Policy. 18 December 2017
Crisis Management Plan Aide Memoir Issue No 2. 9 November 2017
ISSAT

INTERNAL DCAF DOCUMENTS
ISSAT Annual reports 2014 - 2016
ISSAT Mid-year reports and infographics 2014 - 2017
ISSAT Gender and Security Sector Reform. 2016
ISSAT Programme of Work and Budget 2016-2019
ISSAT Organisational Development and Enabling Operational Effectiveness - Draft. 20 November 2017
Human resources policies
DCAF Internships policy. 30 May 2016
Management by Objectives: Policy and guidance related to the MbO process. 28 May 2017
DCAF Policy on Seconded Personnel/ 26 November 2013
Policy on the protection of personal integrity of staff. 20 December 2017
Rules and regulations. June 2013
DCAF salary grid for Geneva-based staff members. 1 April 2017
Travel safety and security policy. May 2014
Reimbursement of travel related expenses. 2017
Reimbursement of non-travel related expenses. April 2017
Delegation of authority and deputization arrangements. 15 May 2017
Subject Matter Experts/Consultancy fees. 13 September 2017
Generic job descriptions for ISSAT: Administrative Assistant, Finance and Administration Coordinator, PRMO, Professional Development and Training Coordinator, Professional Development and Training Project Officer, RA-PA, Senior SSR Advisor, SSR Advisor and Head of OAK, SSR Advisor, SSRO, Deputy Head of ISSAT, Head of SSAT
Meeting minutes
Minutes of the Foundation Council Bureau between 13 May 2014 and 14 November 2017
Minutes of the Foundation Council between 13 May 2014 and 14 November 2017
Monitoring and evaluation documents
Security sector development in Tunisia. Country assessment and results monitoring. 2016
Mapping of Tunisia projects in the Theory of Change.

Appendix VIII   Survey Templates

1. Staff survey for the evaluation of the three Geneva Centres

Introduction

This survey supports the external evaluation of the Geneva Centres, which is mandated by the Swiss Parliament and is being conducted by Universalia Management Group, a Canadian consulting firm.

As part of the data collection process for the evaluation, the evaluation team is seeking perspectives from Centre staff. Your participation will help the evaluation team gain a better understanding of Centre's relevance, effectiveness, efficiency and sustainability with regards to the Centres' governance and management structures, results, results monitoring, thematic scope, activities and synergies with the other Geneva Centres in La Maison de la Paix.

We encourage you to complete the following survey so that we can include your perspectives in the evaluation's analysis. The pilot survey and evaluation questionnaire should take no longer than 30 minutes to complete.

Please be assured that all information gathered will be treated confidentially.

We kindly ask that you complete the pilot survey and the evaluation questionnaire online before close of business on 26 January 2018**.**

Thank you for your time.

Please choose your organisation

- DCAF
- GCSP
- GICHD

Please select the stakeholder group that best suits your current position:

- Operations
- Research / Policy
- Administration
- Other [please specify] _____

What is your gender?

- Male
- Female
- Prefer not to say

Section 1: Services provided by the Centre

1. Please select the answer that best reflects your perception of the Centre you work with among the following statements:

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
1.1. My work responds to the needs of the stakeholders I work with (Evaluation Question (EQ) 1.1.2)						
1.2 The Centre has actively raised its profile among stakeholders in the past 3 years (EQ1.4.1)						
1.3 The scope of the work carried out is appropriate for the needs expressed by its stakeholders (EQ1.7.1)						
1.4 Stakeholders ask us for services that we cannot provide (EQ1.7.1)						
1.5 From your perspective, the services the Centre provides is fit for purpose in fragile state contexts (EQ1.1.5)						
1.6 Gender and diversity are taken into consideration in the Centre's training, operations, and activities (EQ1.5)						

1.7 Do you have any additional comments relating to the relevance of the Centres' services?

_____

Section 2: Synergies among the Centres and with the Swiss Confederation

2.1 Has the move to the Maison de la Paix allowed for more synergies to be developed with one or more of the other Centres (e.g. joint publications, training, workshops, sharing lessons learned, etc.). If yes, why is this the case? (EQ1.4)

- I do not collaborate with the other Centres in my area of work. [skip question 2.2, go straight to 3.1]
- I did not work for the Centre before the move and so could not say. [skip question 2.2, go straight to 3.1]

2.2 Is there any other way in which the move to the Maison de la Paix has positively or negatively impacted your work? (EQ1.4)

- I do not collaborate with the other Centres in my area of work.
- I did not work for the Centre before the move and so could not say.

Section 3: Management and Governance

3. Please select the answer that best reflects your thoughts regarding the effectiveness of the management and governance structures of the Centre (EQ 2.1, 2.3 and 2.4)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
3.1 I am satisfied with the governance structures of the Centre (e.g. the Foundation Council and its Bureau, Advisory Board) (EQ2.3.2)						
3.2 I am satisfied with the management structures of the Centre (EQ2.3.2)						
3.3 Strategic objectives (as defined by the corporate results framework; or more concretely, immediate and intermediate outcomes) and their means of implementation are communicated clearly and effectively by senior management (EQ2.3)						
3.4 The strategic direction of Centre is clear to me (EQ2.3)						
3.5 There are adequate guidelines and policies to allow me to work efficiently (EQ2.3)						
3.6 Work is organised so that each person can see the relationship between his or her task and the strategic objective they are working towards (EQ2.3)						
3.7 Authority is delegated appropriately so that people can do the work they are responsible for (EQ2.3)						
3.8 Lessons learned are regularly incorporated into my work (EQ4.4.2)						
3.9 Problems arise because we do not have the skills necessary to do the job (EQ3.3.2)						
3.10 I am satisfied with the financial management of the Centre (EQ1.3)						

3.12 Would you like to add anything else on your perspectives of the management and governance of the Centre?
_____

Section 4: Results

4. To what extent do you agree with the following statements regarding the effectiveness of Centre's activities? (EQ2.5 and 2.7)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
4.1 The Strategic objectives (as defined by the corporate results framework; or more concretely, immediate and intermediate outcomes) of the Centre are attainable and realistic (EQ2.5.1)						
4.2 The products and services provided by the Centre are of high standard (EQ 2.5)						
4.3 The Centre is on track to meet its strategic objectives outlined in its strategic plan (EQ2.6)						

4.4 What factors **support** the Centre's ability to achieve results? (up to three) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.5 What factors **limit** the Centre's ability to achieve results? (up to three) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work? (EQ2.5)

_____

4.7 Is there a system in place to monitor results? How well is this working? (EQ2.2)

_____

Section 5: Efficiency

5. To what extent do you agree with the following statements on the efficiency of the Centre overall?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
5.1 The outputs of the projects I work on have been achieved on time (EQ3.2)						
5.2 The outcomes I am responsible for could not have been achieved with less financial resources (EQ3.2)						
5.3 Some duplication of roles and functions occurs among staff at the Centre (EQ3.2)						
5.4 The proportion of core experts (permanent staff) and external experts (temporarily mandated staff) is appropriate for the outcomes we are working towards (3.3.1)						
5.5 The profiles of core experts are adequate for Centre's needs (3.3.2)						
5.6 Internal policies and guidelines are readily available (EQ3.2)						
5.7 Information sharing on internal policies is transparent (EQ3.2)						

[Section 6. Insert tailored questions here for each centre – see section with tailored questions below]

Section 7. Final Comments

1. What are the Centre's strengths?

2. What are Centre's weaknesses?

3. What are the opportunities you perceive in Centre's operational environment?

4. What are the threats you perceive in Centre's operational environment?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
DCAF has increased its collaboration with other actors in SSR in terms of the products and services it provides (EQ2.8.1)						
DCAF has increased its' support towards police and justice-related activities in terms of the products and services it provides (EQ2.8.2)						
DCAF implements a holistic approach to SSR/G (EQ2.8.6)						
DCAF is positively contributing to the SDGs related to peace and conflict prevention in terms of the services and products it provides (2.8.7)						
Organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives (3.4.1)						

3. External stakeholder survey template

Introduction

This survey supports the external evaluation of the Geneva Centres, which is mandated by the Swiss Parliament and is being conducted by Universalia Management Group, a Canadian consulting firm.

As part of the data collection process for the evaluation, the evaluation team is seeking perspectives from GICHD's partners and stakeholders.

We encourage you to complete the following survey so that we can include your perspectives in the evaluation's analysis. Your participation will help the evaluation team gain a better understanding of how GICHD is perceived by its partners. This survey is split into sections covering relevance, effectiveness, efficiency and sustainability.

The survey should take no longer than 10 minutes to complete.

Please be assured that all information gathered will be treated confidentially.

We kindly ask that you complete this survey online before close of business on 26 January 2018.

Thank you for your time.

Section 1. Background information

1. Which organisation do you work the most with?

- DCAF
- GCSP
- GICHD

2. What type of stakeholder group do you fall into?

- Donor
- Implementing Partner
- Government Partner
- UN agency
- Other, please specify _____

3. What is your gender?

- Male
- Female
- Prefer not to say

Section 2. Relevance

4. In the table below, please select the answer that best reflects your perception of the following statements:

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
The services the Centre provides respond to my needs (EQ1.1.2)						
The Centre does not duplicate the work of other organisations (EQ1.3)						
The Centre's work is aligned with the current trends in the field (EQ1.3)						
The Centre is a leader in its field (EQ1.3)						
The Centre has a clearly defined profile (EQ1.3)						
The Centre is equipped to work in fragile states (EQ1.1.5)						
The Centre's work takes gender considerations into account (EQ1.5)						

5. Are there any gaps in the scope or geographic coverage of the Centre's work? (EQ1.1.4)

	No
	Yes, they are _____

Section 3. Effectiveness

6. To what extent do you agree with the following statements regarding the effectiveness of GICHD? (EQ1.3 and 2)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
The Centre is effective in providing its services (EQ2.1,2.5)						
The Centre coordinates well with my organisation (EQ2.1)						
The Centre's strategic direction is clear to me (EQ2.3)						

7. What are the Centre's strengths?

8. What are the Centre's weaknesses?

Section 4. Efficiency

9. To what extent do you agree with the following statements on the efficiency of GICHD overall?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
It is clear to me who I should be in contact with at the Centre about matters relating to our work together (EQ3.2)						
Some duplication of roles and functions occurs among staff at the Centre (EQ3.2)						
The profiles of the Centre's core experts are well suited to the work it does (EQ3.3)						

Section 5. Sustainability

10. Do you have any examples from your collaboration with the Centre where an intervention has lead to lasting change? (4 overall) (EQ4.1)

11. What were the factors that supported this sustainability? (4 overall) (EQ4.1)

Section 6. Final comments

12. Are there any additional comments you wish to make for consideration by the evaluation team? (up to 75 words)

Thank you for your time.

3. DCAF

3.1 Internal Staff Survey Analysis

General

- **Number of respondents:** 147 out of 220 invitations

- **Response rate:** 67%

- **Gender:** 41% male: 56% female: 2% prefer not to say

PLEASE SELECT THE GROUP THE BEST DESCRIBES YOUR POSITION AT DCAF
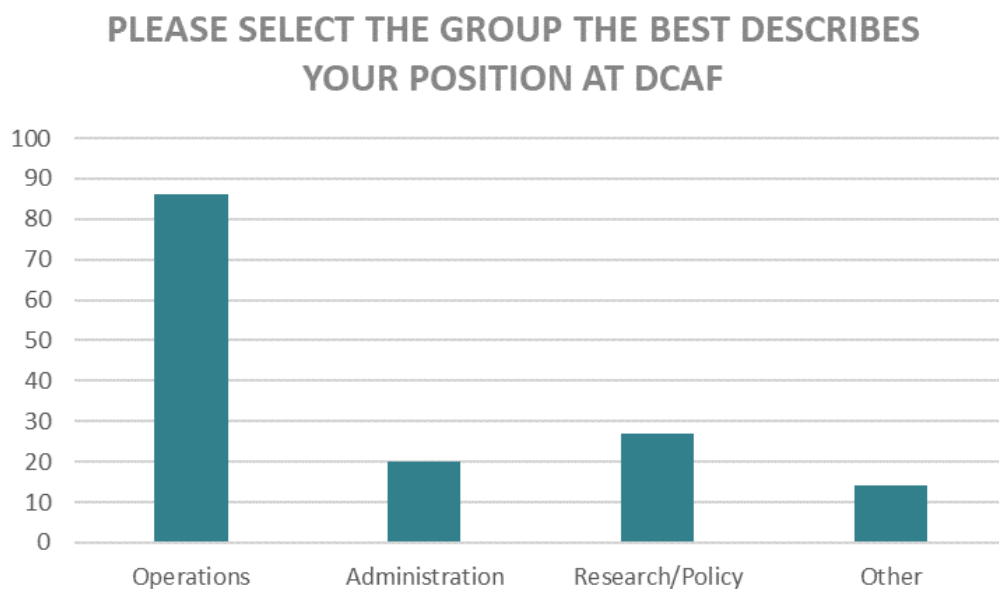
Other = ISSAT (6), Intern (2), Senior Advisor (2), Treaty Implementation, Professional Development, Secondee, Management, Head of Division (1, respectively).

Relevance

- General satisfaction with the relevance of DCAF's work, its scope and how well it responds to perceived needs.

- Gender and diversity considerations are perceived to be taken into account in Centre's training, operations and activities (31% strongly agree, 45% agree).

> *"In the last 18 months, DCAF has visibly increased the relevance of its services."*
>
> *"Highly relevant in post-conflict contexts"*

HOW RELEVANT IS DCAF?

■ STRONGLY AGREE   ■ AGREE   ■ NEITHER AGREE NOR DISAGREE   ■ DISAGREE   ■ STRONGLY DISAGREE

1.1 MY WORK RESPONDS TO THE NEEDS OF THE STAKEHOLDERS I WORK WITH	58% / 38% / 4%	
1.2 THE CENTRE HAS ACTIVELY RAISED ITS PROFILE AMONG STAKEHOLDERS IN THE PAST THREE YEARS	41% / 35% / 16% / 5% 2%	
1.3 THE SCOPE OF THE WORK CARRIED OUT IS APPROPRIATE FOR THE NEEDS EXPRESSED BY ITS STAKEHOLDERS	35% / 48% / 8% / 8% 0%	
1.4 STAKEHOLDERS ASK US FOR SERVICES THAT WE CANNOT PROVIDE	11% / 23% / 26% / 37% / 2%	
1.5 FROM MY PERSPECTIVE, THE SERVICES THE CENTRE PROVIDES IS FIT FOR PURPOSE IN FRAGILE STATE CONTEXTS	31% / 45% / 19% / 3% 2%	
1.6 GENDER AND DIVERSITY ARE TAKEN INTO CONSIDERATION IN THE CENTRES'S TRAINING, OPERATIONS AND ACTIVITIES	31% / 45% / 15% / 8% 1%	

Additional comments

What to focus on to improve relevance:

- Diversity in the staff: especially junior staff from the "Global South" (restrictions on work permits for non-EU countries is an issue); Gender mainstreaming and human-rights based-approach

- Local-regional presence; Broaden DCAF thematic scope; Complementarity

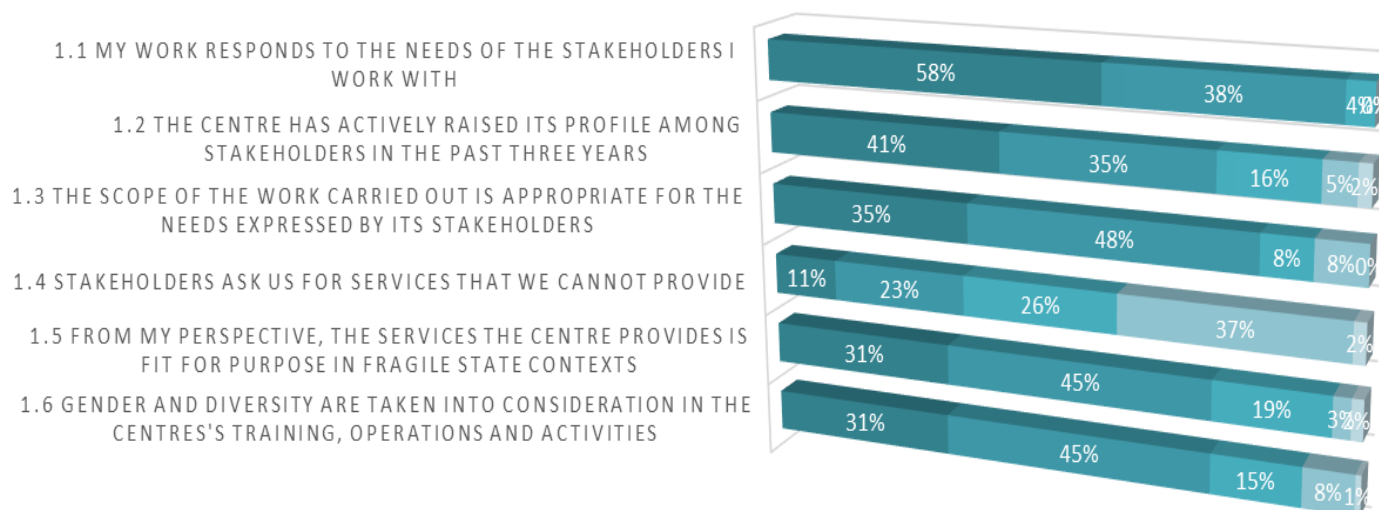- Travel policy should allow employees to travel to high risk countries (such as Afghanistan and Iraq) where DCAF could have a real impact; Suitability of the work to fragile context

- Human and financial resources to answer the needs ; Innovation: not seen as a leader; M&E: more external evaluations

La Maison de la Paix and synergies with the other Centres

2.1 Has the move to the Maison de la Paix allowed for more synergies to be developed with one or more of the other Centres (e.g. joint publications, training, workshops, sharing lessons learned, etc.). If yes, why is this the case? I do not collaborate with the other Centres in my area of work: 39 / **Yes: 43**

- Geographic proximity with the other centres facilitates people's participation in cross-divisional meetings, events (Geneva Peace Week, Regional Breakfast series by the Geneva Peacebuilding Platform, etc.), joint trainings (RBM), joint publications and information sharing for a (especially on topics as Gender and the SDG's). As a result, we are more aware of what's going on. Who is who. Who is working on what. Synergies become much easier in such a context and less conscious effort goes into them. Better understanding of the mandates and capacities. More opportunities for collaboration.

- Management, strategies, directors are more aligned

- Continued collaboration, willingness to really be a "Centre of Excellence"

But:

- It is far from maximised (potential). Proximity helps, but we also need to figure out better how to fund such initiatives - most donors (with the exception of Switzerland which has a stake in this particular outcome) are still not sufficiently interested in coordination and funding meta-studies and a true lessons identification process with a follow-on programme to adjust their own behaviour.

- Profiles of the 3 centres are still very different from each other, distinct mandates and distinct capacities, which on the one hand ensures that they do not overlap in the services they provide, but on the other hand it also means that space for synergising activities is not always obvious

- Need to more visibility on cooperation initiatives between centres. There's is definitely more to be done in terms of communicating within and in between the centres about the cooperation initiatives already undertaken and opportunities to explore.

Main recommendations: We could share spaces for common workshops and activities and it is easier to meet and cooperate. Improve the communication on cross-centres initiatives and their visibility.

2.2 Is there any other way in which the move to the Maison de la Paix has positively or negatively impacted your work? I do not collaborate with the other Centres in my area of work: 30 / **Yes: 37**

Positively:

Building/infrastructure

- Modern, well equipped offices, office space, more appropriate meeting rooms
- Localisation: more visibility in Geneva, closer to the UN

Better communication and greater intra-organisational cooperation (with other Centres, Interpeace, SAS)

- Easier to have informal exchanges on specific topics or challenges
- Much more direct exchange between Divisions and with the Director.
- Environment of learning and experience sharing
- Time saving

In general

- Gives a sense of being part of a wider engagement to promote peace and security
- Being part of a growing community of policy and operational experts, feeling of unity
- Perception, team feeling, identity, reputation, key aspects that have improve with the move

Negatively:

- Building is unhealthy work environment: people frequently complain about temperature, lighting and air quality; Building is awful; Working in open spaces has had a negative impact on my health and therefore also on my productivity at work.

- There could be more but synergies do exist (example: gender and diversity hub). the problem however is that collaboration only happens based on personal initiative (in my experience). very few people know the colleagues from the other centres. networks do exist among senior level employees and most junior (because they know each other from university, internships etc.).

- Oddly enough, the move to the MdP has made DCAF's divisions more disconnected from one another.

Management and governance effectiveness

- Staff satisfaction with management and governance at DCAF is mixed.

- While over a third either agree or strongly agree with the positive statements, there is around one fifth reporting that they neither agree nor disagree with the statements. This may simply reflect the transition period that DCAF is going through.

- Just over one third of respondents disagreed (27% disagree and 9% strongly disagree) that there are adequate guidelines and policies to allow me to work efficiently. Similarly, over one third disagreed (26% disagree and 11% strongly disagree) that the strategic objectives of DCAF and their means of implementation are communicated clearly and effectively by senior management.

- Trends in the qualitative responses suggest that there are perceived issues with internal communications, coordination and dissatisfaction with management, although there is also a recognition that the organisation is going through a reform process.

- Overall, staff seems to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-terms perspectives.

HOW EFFECTIVE IS DCAF MANAGEMENT AND GOVERNANCE?

■ STRONGLY AGREE   ■ AGREE   ■ NEITHER AGREE NOR DISAGREE   ■ DISAGREE   ■ STRONGLY DISAGREE

Question	Strongly Agree	Agree	Neither	Disagree	Strongly Disagree
3.1 I AM SATISFIED WITH THE GOVERNANCE STRUCTURES OF THE CENTRE	9%	36%	41%	11%	3%
3.2 I AM SATISFIED WITH THE MANAGEMENT STRUCTURES OF THE CENTRE	11%	34%	25%	17%	14%
3.3 STRATEGIC OBJECTIVES AND THEIR MEANS OF IMPLEMENTATION ARE COMMUNICATED CLEARLY AND EFFECTIVELY BY SENIOR MANAGEMENT	11%	34%	19%	26%	11%
3.4 THE STRATEGIC DIRECTION OF THE CENTRE IS CLEAR TO ME	12%	31%	26%	23%	9%
3.5 THERE ARE ADEQUATE GUIDELINES AND POLICIES TO ALLOW ME TO WORK EFFICIENTLY	12%	35%	18%	27%	9%
3.6 WORK IS ORGANIZED SO THAT EACH PERSON CAN SEE THE RELATIONSHIP BETWEEN HIS OR HER TASK AND THE STRATEGIC OBJECTIVE THEY ARE WORKING TOWARDS	10%	37%	27%	18%	8%
3.7 AUTHORITY IS DELEGATED APPROPRIATELY SO THAT PEOPLE CAN DO THE WORK THEY ARE RESPONSIBLE FOR	14%	30%	25%	20%	11%
3.8 LESSONS LEARNED ARE REGULARLY INCORPORATED INTO MY WORK	12%	41%	26%	15%	6%
3.9 PROBLEMS ARISE BECAUSE WE DO NOT HAVE THE SKILLS NECESSARY TO DO THE JOB	4% / 5%	26%	46%	18%	
3.10 I AM SATISFIED WITH THE FINANCIAL MANAGEMENT OF THE CENTRE	2%	27%	42%	17%	11%

Additional comments

Positive

- Improvements in how the Foundation Council has been used, more dynamic now
- Many big and important steps have been made in improving the management and governance of the Centre

Negative

- Directory Board: not gender balanced (17 men-8 women) and "some women on the DB are underpaid even according to the official salary scale" / little or no management experience of the DB / need to clarify their role / "failure to confront systemic abusive management practices"
- Lack of strategic vision/objectives and internal communication on it ; Weakness of the inter-divisional cooperation
- Transparent mechanisms in recruitment, accounting and control mechanisms, enhanced engagement with field offices
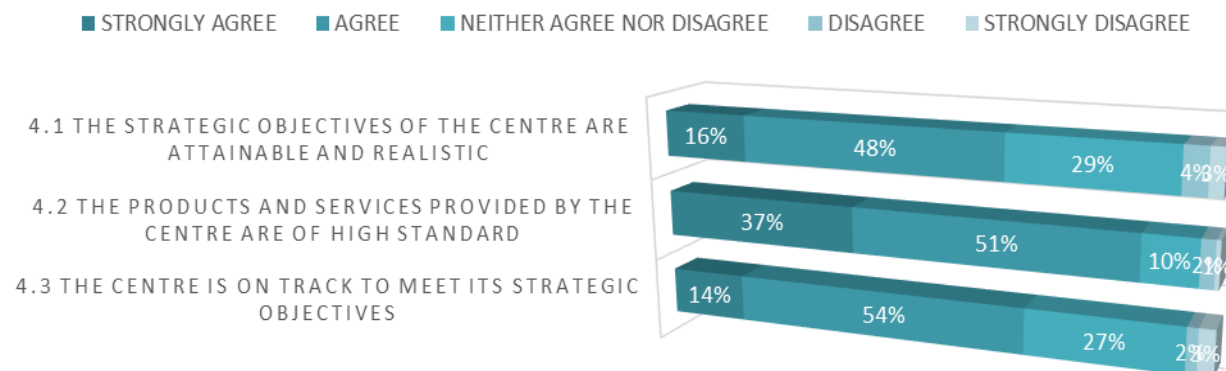
- HR management extremely weak – inequalities within the staff, promotions system, not enough is done to retain and motivate junior staff; harassment and discrimination cases have been reported

- Slow decision-taking processes

- Recent reforms are not enough communicated to staff

- Too hierarchical and complex structure

→ **huge potential but policies and guidelines (and implementation of it) are missing**

Effectiveness

- Overall, staff are positive about the effectiveness of DCAF

- Staff appears undecided about the outcomes of organisational changes for the effectiveness of the organisation (31% neither agree nor disagree that organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives; 37% agree and 16% strongly agree)

- Staff agree that DCAF is positively contributing to the SDGs, implementing a holistic approach to SSR/G and increasing support to police and justice-related activities. Over one third of staff strongly agree that the products and services provided by the centre are of a high standard.

HOW EFFECTIVE IS DCAF?

■ STRONGLY AGREE   ■ AGREE   ■ NEITHER AGREE NOR DISAGREE   ■ DISAGREE   ■ STRONGLY DISAGREE

	STRONGLY AGREE	AGREE	NEITHER AGREE NOR DISAGREE	DISAGREE	STRONGLY DISAGREE
4.1 THE STRATEGIC OBJECTIVES OF THE CENTRE ARE ATTAINABLE AND REALISTIC	16%	48%	29%	4%	3%
4.2 THE PRODUCTS AND SERVICES PROVIDED BY THE CENTRE ARE OF HIGH STANDARD	37%	51%	10%	2%	1%
4.3 THE CENTRE IS ON TRACK TO MEET ITS STRATEGIC OBJECTIVES	14%	54%	27%	2%	3%

Factors supporting effectiveness

Lack of competition + Good governance + Diversity of projects + Flexibility to act and react quickly in response to security governance challenges + Niche of security sector governance + Operational capabilities in key regional contexts + Connection to field offices and beneficiaries + Longstanding cooperation with the stakeholders; wide spectrum of expertise; long term relationships with the countries we support

- **RH & staff:** high-qualified, multicultural, mix of experienced professional and junior staff, knowledge and expertise, commitment, willing, professionalism, heterogeneity / expertise of local partners, variety of skills, solidarity among co-workers and team cooperation, staff dedication; It may be argued in a highly specific and limited context that a small number of staff are producing results that sustain the - now unwarranted - credibility of the centre, at least for the short term.

- **Networks/Communication:** events, exchange of information, great location (and possibility to connect with the other centers), networks within the International Community, with partner countries, with practitioners, network of respected experts with practical SSR experience; link with Swiss authorities, excellent contact with stakeholders in the field

- **Management:** strong management, common understanding of strategic objectives, organisation, realistic goals, clear strategy, openness to new ideas, change, reform and cooperation opportunities, flexibility, decentralised management, adequate leadership, clear guidelines, ability to plan ahead; bottom-up approach in the decision making process, transparency; insensitive given to staff, respect to staff; local management of national offices; follow-up of a strategic plan; The new director has launched a set of key reforms that are going to be very helpful for DCAF

- **Reputation & Credibility:** clear mandate and values are clearly expressed and delivered, top level access, reputation, wide international scope, reputation (provides the entry points for mandates), world leading organisation in the area of SSR/SSG, location in Swiss: The Centre is perceived as neutral; positive track record; ability to convince/influence stakeholders to change their behaviour; recognition as an impartial actor; sound knowledge of local realities and dynamics of (in)security; long-term presence in the sector; Risen recognition at the EU level

- **Approach:** "An integrated 'thru-life approach that combines applied research, policy and operational work", unique approach: DCAF's tools include a standing capacity to support the international community to better deliver. This does not exist elsewhere. The Trust Fund for North Africa allows for a multiplier effect engaging in one of the highest priority areas for many governments by being able to cross-reference lessons and skills/capacities across the region; global coverage, multi-disciplinary, impartiality and neutrality, strong research culture; knowledge and awareness of needs of beneficiary states; decentralisation and autonomy in the field and quick responsiveness; long-term, reliable approach; inclusive and participatory approaches that give voice to a diverse array of relevant stakeholders, thereby promoting local ownership and laying the groundwork for sustainable results

- **Funding:** especially Swiss; high degree and availability of core budget funding; high transparency requirements; The Centre tries to engage in the provision of long-term support which helps to achieve results, as results at the level of immediate and intermediate outcomes may take years to achieve and require a long-term perspective; flexibility in budget allocation; stable financial support

Factors limiting effectiveness

- **RH & staff:** "Profusion of unqualified staff limits of the ability of the centre to perform basic policy, management, administrative and financial planning and implementation tasks"; Staff turnover; limited available human resources; the hiring freeze, preventing key positions being filled; Lack of regular internal trainings and workshops, especially for entry level positions; absence of career development policy to keep staff motivated; Lack of team building; Lack of ethical values, resulting in a disengagement of value-driven staff; Lack of investment and clear policies nurturing young and talented human resources; inequality between international and local staff

- **Networks/Communication:** heavy internal procedures; It would be good to have resources to do joint WORK with other Centres; lack of coordination between the different divisions & between the Head Centre and other offices; Lack of sharing or lessons learned and good practices between divisions; Poor IT services (extremely slow response time or sometimes no response at all even to urgent queries/issues)

- **Management:** weak financial management, tracking and analysis; decision making is slow; centralised management; lack of strategic planning; micro management; "poor representation in management with Swiss white males making up the large majority of the Directing Board"

- **Reputation & Credibility:** Starting from the stand point that other organisations working in the same geographical region are competition (e.g. UNDP seen as competitors) rather than part of trying to achieve the same goal; Patchy attention to gender; A legal status in Switzerland that is no longer adapted to the organisation's global mission;

- **Approach:** unclear strategy towards the interlocutors and their needs; harmonisation of beneficiary's needs with the set goals; Lack of quality-control. DCAF has no house-style guide, no procedure for the quality-control of publications. We desperately need a publications team to institute quality-control measures across DCAF. This would ensure that our knowledge products are consistent in style, format and quality.

- **RBM:** The methodology underlying the RBM is deeply flawed: it consists of soliciting feedback from partners who have a vested interest in giving us positive appraisals: this information is not cross-checked and it allows the centre to cherry-pick "good news" stories for the purposes of fundraising; The RBM framework is well-known joke in-house: the people who developed it had no experience even working with RBM before they created the existing system; Lack of respect for local ownership

- **Funding:** Short term donor approaches to long term security sector governance challenges; Increasing project funding has not been matched by increasing core funding; Core funding base is not diversified (95% Swiss) this limits the growth potential; Not using core funding for strategic purposes; Requirements imposed by donors (reporting, etc.); Lack of funding; heavy internal and external reporting requirements by some donors or main implementing partners

- **Security & Policies:** Insecurity and instability (for MENA); Lack of political will (for SSR) (sometimes only among a few "blockers"); inherently, democratisation and peace are areas of extreme volatility, where it is difficult to achieve sustainable and palpable results; Political constraints in/of partner countries and institutions; There is no political neutrality in some sensitive issues

Monitoring

4.7 Is there a system in place to monitor results? How well is this working? For most of responders, **yes** there is a system in place to monitor results. RBM was developed in 2014-2015. A corporate RBM system is in place, including a corporate results framework and instruments to gather information at the

corporate level and synthesise this performance information into an annual performance report. Great potential.

But:

- It is completely detached from the reality of our work

- More efforts could be made to collect more and better evidence of our results.

- It has limited efficiency from my perspective though.

- The system is too theoretical and bureaucratically "heavy" for some parts of the house, and is still being adjusted.

- it has a lot of gaps in terms of impact of what we do but that is a rather complex process that we are continuously trying to improve.

- lack of basic standardisation

- Time consuming

- The implementation is not effective because of a lack of training

No:

- The RBM system is not designed to monitor results: it is designed to give external stakeholders the impression that we measure results while allowing us to curate our public image for the purposes of fund-raising. It works very well at doing this.

- RBM system, introduced in 2015, piloting ended last year.

- M&E is not really applied as indicators and programmes changes over time so it is hard to measure against it.

- There is no system/procedure on how to measure the results of projects. While we are expected to provide reports to donors on our outputs, these are often generic and narrative-based, and there is no DCAF-wide system to assess the results of projects. Some divisions do, others do not.

Sustainability

4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work? "No": 16 - **"Yes": 26** (+ additional comments below) - "Don't know": 8

Yes:

- DCAF and its products have a strong reputation and influence strategy and policy making. There is certainly room for improvement in the measurement of results and evidence gathering, however, proper means should be secured and provided for that process.

- we usually have long term relationships, building on previous experience and tracking the implementation or application of previous projects.

- mainly thanks to the participatory approach we have adopted to develop and implement our projects

- regular and systematic monitoring through our field offices as well as our HQ staff and are in constant direct exchange with our key beneficiaries

- solid evidence that our outputs are applied and contribute to progress towards achieving the outcomes we strive for in line with our RBM

- We aim to ensure sustainability of our engagement, e.g. by supporting local civil society organisations and civil servants who remain in long term contracts and continue supporting local institutions.
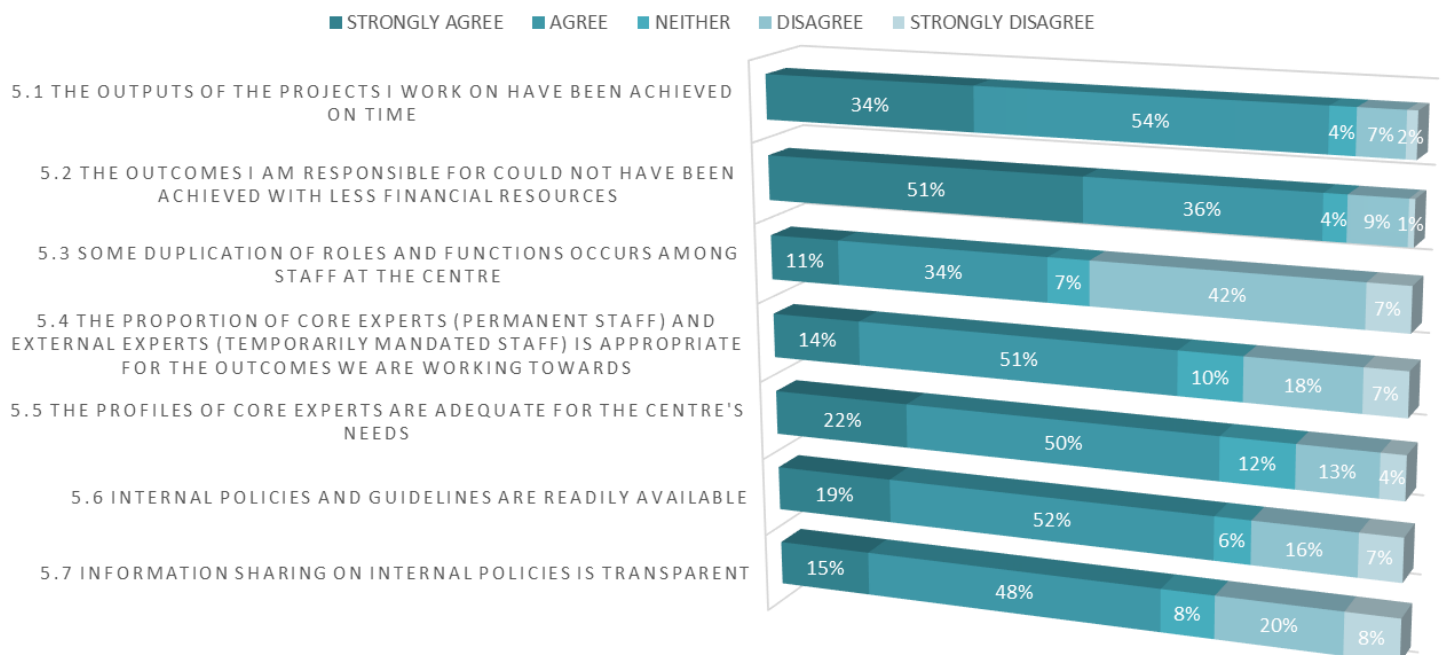
- several Manuals and Toolkit are provided by DCAF

But:

- monitoring is often not as sufficient as would be liked, though we do follow up on results with some regularity. (Who is expected to pay for the time/money to monitor completed projects/outputs?)

- there are no human or financial resources available from the DCAF side for this

- not real feedback on how individual outputs could be used

- sustainability is partial because of staff turnover

Efficiency

- General satisfaction on efficiency, even on information sharing, which is in conflict with the findings above on management effectiveness and internal communications.

- There is general agreement that the proportion of core experts and external experts is appropriate and that the Centre has the internal expertise it needs to deliver its services.

- Clear split of opinions on the question of whether there is a duplication of roles and functions among staff at the Centre.

- Staff are satisfied with efficiency in terms of achieving outcomes with the required resources and in good time.

HOW EFFICIENT IS DCAF?

■ STRONGLY AGREE ■ AGREE ■ NEITHER ■ DISAGREE ■ STRONGLY DISAGREE

	Strongly Agree	Agree	Neither	Disagree	Strongly Disagree
5.1 THE OUTPUTS OF THE PROJECTS I WORK ON HAVE BEEN ACHIEVED ON TIME	34%	54%	4%	7%	2%
5.2 THE OUTCOMES I AM RESPONSIBLE FOR COULD NOT HAVE BEEN ACHIEVED WITH LESS FINANCIAL RESOURCES	51%	36%	4%	9%	1%
5.3 SOME DUPLICATION OF ROLES AND FUNCTIONS OCCURS AMONG STAFF AT THE CENTRE	11%	34%	7%	42%	7%
5.4 THE PROPORTION OF CORE EXPERTS (PERMANENT STAFF) AND EXTERNAL EXPERTS (TEMPORARILY MANDATED STAFF) IS APPROPRIATE FOR THE OUTCOMES WE ARE WORKING TOWARDS	14%	51%	10%	18%	7%
5.5 THE PROFILES OF CORE EXPERTS ARE ADEQUATE FOR THE CENTRE'S NEEDS	22%	50%	12%	13%	4%
5.6 INTERNAL POLICIES AND GUIDELINES ARE READILY AVAILABLE	19%	52%	6%	16%	7%
5.7 INFORMATION SHARING ON INTERNAL POLICIES IS TRANSPARENT	15%	48%	8%	20%	8%

SWOT questions in the survey

Strengths

- **Staff:** expertise of its staff, committed & dedicated staff; ethnic and cultural diversity; professionalism and impartiality; flexibility; strong network of experts on SSR/SSG (niche); openness; Solidarity among co-workers; Enthusiasm of junior staff; commitment to gender diversity

- **Reputation and Image:** Strong credible identity in our field at international level; Values-based impartial actor that is trusted; trust from local stakeholders; Clear, well known mandate; "Reputation Neutral (non UN, non EU, non political) body dealing with highly politically charged issue (SSR), employing some of the most qualified professionals on the topic."; An excellent brand name and history of some good work; high international acceptance; strong partnerships with multilateral organisations who trust us and enable us to input into international policy agendas

- **Location:** in Geneva Swiss-based and Swiss-funded; collaboration with other actors working on SSG/SSR are a key strength; Geneva-based foundation facilitates work in a politically most sensitive policy area

- **In the field:** Resources In the field: flexibility and adaptation to stakeholders needs and strong capacity to advise them when necessary.

- **Approach & Strategy:** holistic approach combining research, policy and operations; Diversity in regional and thematic experiences; Strategic focus; strong capacity to adapt quickly to changing environments; transparency; inclusive approach; the linkages between our policy & research work and our operational work; corporate-level RBM process

- **Funding:** generous core funding; high quality donor support; sustainable funding

"DCAF has the resources, the political support, the experience, the access, the contacts, and the international profile to be leading the global conversation of security reform and that's what we should be doing. It's a great shame that we are becoming increasingly irrelevant due to a lack of vision."

Weaknesses

- **Bureaucracy:** Heavy internal policies; Need to further develop DCAF's central administrative services (HR, finance)

- **HR & Staff:** Lack of in-house experts; career development (especially for junior and interns); HR management; weak support structures (HR and Finance); Lack of Internal and external Experts in SSR & SSG; Patchy progress on commitments to gender; staff harassment cases reported; high staff turnover

- **Image and Relevance:** The name of DCAF causes confusion not helpful; not competitive in comparison with local NGOs (high salaries in Geneva); corporate DNA not fully developed; unclear legal status

- **Management & Internal Communication:** DCAF's leadership does not value transparency; financial management is weak; Inefficient (top-heavy) management; still poor internal communication; unclear organisational structure; lack of communication and coordination between the headquarter office and the regional offices; Lack of cross-dept. coherence; strategic planning

- **Funding:** core funding base is not enough diversified; accountability; Unpredictability of funding; control by Switzerland → politically dependant, lack of autonomy because of Swissness; Dependence on external funding sources

- **Strategy and Approach:** Lack of Innovation; centralization in Geneva; lack of consistency; Too distant, too removed from operational work; Lack of external, independent evaluations of operational programmes to provide empirical evidence of impact; Limited field office presence in some geographic regions

"We need to modernise its policies and procedures in line with the current scope of our operations, we need to be more consistent in how different parts of the house operate, we need to work on the legal personality if we are to maintain us in dealing with the sensitive issue of SSR, as we engage more in fragile states we need to be able to manage these risks."

Opportunities

- Further engage with actors of the private sector

- In the current context, DCAF is more relevant than ever: there is a growing demand for support

- Collaboration with the GICHD

- Sustaining peace agenda and the 2030 agenda are two powerful frameworks for highlighting the importance of DCAF work

- Working closely with the EU (biggest donor in SSR around the world)

- Explore new topics in SG and innovative trends

- Strengthen cooperation with local partners

- A lot of potential and talents within the staff: needs to invest in it

Threats

- Political instability and fragile context are increasing, corruption

- Lack of local/context knowledge and global south perspective

- Lack of vision, strategy and competence among senior leadership threats the ability to operate without doing more harm than good, micromanagement and lack of guidelines & policies

- HR practices "unethical and in some cases illegal", staff turnover

- Cheaper and better equipped competitors – lack of reactivity from DCAF to be competitive

- Emergence of new issues that either are outside of DCAF's scope or to which it is not able to react; lack of expertise in some cases

- Change in donor focus and priorities / loss of credibility towards them

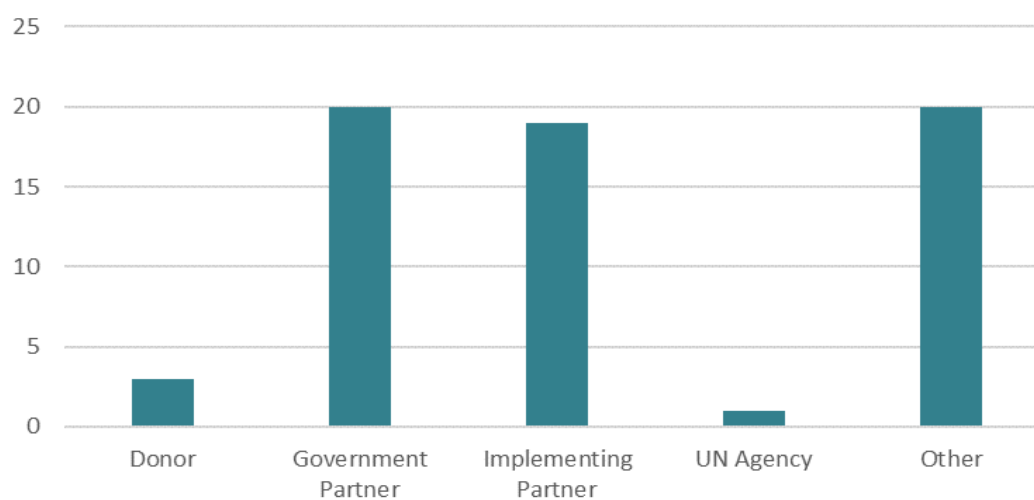- Frustration of partners and staff: lack of participatory and transparent approaches

3.2 External Stakeholders Survey Analysis

General information

- The DCAF External Stakeholder Survey was sent to 148 people.

- Response rate was 43%.

- 62% of respondents were male, 38% were female.

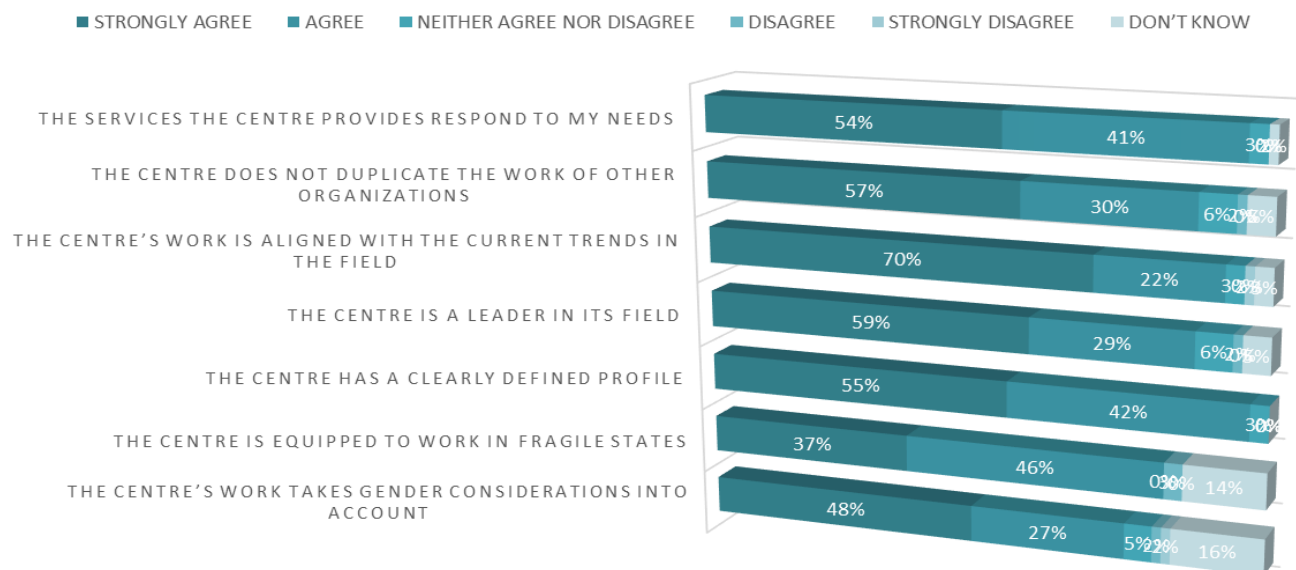WHAT STAKEHOLDER GROUP DO YOU FALL INTO?

"Other" included:

NGO partner	2
European Union	2
We cooperate on joint projects, for example in Ukraine.	1
International Organization	2
attended DCAF trainings in Myanmar	1
FIIAPP, My Pol	1
Autorité Indépendante Administrative	1
Partner	1
Civil servant	1
Parliament	1
In past donor, now in context relation EU mission	1
Regional organisation (OSCE)	1
legislative institution	1
Founder of all 3, former Director of DCAF and of GCSP	1
Doing different projects related to the Middle East and track 2 diplomacy	1
Staff	1
Chair person of the Foundation Council	1

Relevance

- Stakeholders were globally positive about the continuing relevance of DCAF: for 88% of the respondents, the Centre is a leader in its field, 95% estimate the Center provide response to their needs and 87% think DCAF does not duplicate the work of other organisations.

- There were particularly positive about the Centre's work to integrate gender considerations (75%) and the alignment of its work with current trends in the field (92%).

- 73% of respondents are convinced that the Centre is equipped to work in fragile states.

HOW RELEVANT IS DCAF FROM THE POINT OF VIEW OF STAKEHOLDERS?

Legend: STRONGLY AGREE · AGREE · NEITHER AGREE NOR DISAGREE · DISAGREE · STRONGLY DISAGREE · DON'T KNOW

Statement	Strongly Agree	Agree	Neither / Disagree / etc.
THE SERVICES THE CENTRE PROVIDES RESPOND TO MY NEEDS	54%	41%	3% 2%
THE CENTRE DOES NOT DUPLICATE THE WORK OF OTHER ORGANIZATIONS	57%	30%	6% 2% 2%
THE CENTRE'S WORK IS ALIGNED WITH THE CURRENT TRENDS IN THE FIELD	70%	22%	3% 3% 3%
THE CENTRE IS A LEADER IN ITS FIELD	59%	29%	6% 2% 3%
THE CENTRE HAS A CLEARLY DEFINED PROFILE	55%	42%	3% 0%
THE CENTRE IS EQUIPPED TO WORK IN FRAGILE STATES	37%	46%	0% 3% 0% 14%
THE CENTRE'S WORK TAKES GENDER CONSIDERATIONS INTO ACCOUNT	48%	27%	5% 2% 2% 16%

Are there any gaps in the scope or geographic coverage of the Centre's work?

On 63 respondents, 52 did not believe that there were any gaps in the scope of DCAF's work. 10 respondents suggested that:

1. *The Centre could include more research and studies on:*

- SSG in Asian countries and the SSR work of Asian parliaments
- Human rights and especially on torture
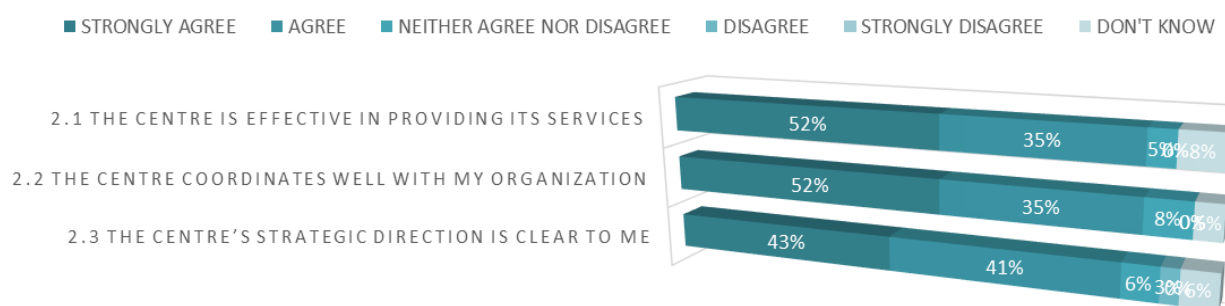- Latin America

2. *The Centre should improve:*

- Coordination between governmental agencies and jurisdiction agencies
- Integration of gender approach not only with general concepts but through a concrete, practical guideline
- Field presence which nowadays limited its credibility towards local communities

- Geographic scope: "the Center is clearly concentrating its work with specific regions/countries"

- Available resources

- Exchanges and peer learning among the regions covered by its operations; exchanges of know-how not only between consolidated democracies (e.g. EU, U.S. etc.) and the rest of world, but also between regions like SEE and Eastern Europe, or SEE and Latin America etc. The work on developments in the EU and Europe should be continued as the democratic control of security institutions is weakening under populist threat and increased securitisation.

Effectiveness

- Stakeholders were positive about DCAF's effectiveness, agreeing that it has a clear strategic direction (43% strongly agree, 41% agree), that it coordinated well with its partners (52% strongly agree, 35% agree) and that it is effective in providing its services (87%).

HOW EFFECTIVE IS DCAF FROM A STAKEHOLDER'S PERSPECTIVE?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE ■ DON'T KNOW

	STRONGLY AGREE	AGREE		
2.1 THE CENTRE IS EFFECTIVE IN PROVIDING ITS SERVICES	52%	35%	5%	0%8%
2.2 THE CENTRE COORDINATES WELL WITH MY ORGANIZATION	52%	35%	8%0%5%	
2.3 THE CENTRE'S STRATEGIC DIRECTION IS CLEAR TO ME	43%	41%	6%3%0%6%	

What are DCAF's strengths?

Towards the external partners, DCAF assets are: Listening, respect, availability, responsiveness, communication, flexibility, coordination, neutrality, commitment, dynamism, support. Provide useful resources both human and informational.

"The Centre is very keen to preserve the Partner Government ownership over the partnership."

Concerning DCAF staff: Trained, qualified and experienced staff, knowledge capture & management (managing donor requirements), roster of excellent expert, well organised and ability to lead.

Concerning DCAF activities:

Its mandate responds to a real need. Willingness. Very high reputation and international visibility.

Unique focus on the topic of accountability and democratic control of whole of security sector (not just traditional security providers, but also governance structures).

Comprehensive coverage of security sector issues; Excellence in topics: private security governance, intelligence governance, gender and SSR; Sound prioritising of the research issues; Clear understanding of the challenges in its area of work.

High quality services: ability to provide both research/ studies and mobilising experts on specific SSR/SSG topics, and ability to provide comprehensive trainings. Preparation for the reforming of laws. Publications. Strong methodology.

Presence & influence in some regions (Western Balkans, MENA), experience in fragile states, implementation on the ground, understanding of local and regional context, access to top level stakeholders, possibility to influence international norms and provides support also to IGOs and different states, broad networks.

"It is one of rare organisation able to work with a variety of traditional and non-traditional actors (besides state officials, also DCAF plays significant role in building capacity and supporting civil society work in SSG, which makes reforms more sustainable). ISSAT and community of practice it nurtures and supports."

Ethics, Gender and ethnic equality, holistic approach, pragmatism.

What are DCAF's weaknesses?

Coordination, avoid duplication (with UN activities), identify synergies with other NGOs/working in partnership with others (use potential), internal communication.

In the field: focal point in the field, presence and/or research in some countries (Montenegro, Asian), which impacts DCAF's credibility; "linking these studies closers to political realities"; limited impact on local communities.

Trainings: more innovative methods, more training in the field of police integrity (Balkan countries).

Material resources, more financial support by its partners, availability and sustainability of funding (especially for short-term programmes) // "funding dependence"; financial management (the Head of Finances is an Accountant, not a CFO); difficulty to set long-term goals (longer than 6 months) for future activities.

Human resources: not all the experts are on the same level and the support you receive really depends upon which experts work on your project. Some experts unfortunately (and understandably) only have very limited time availabilities; staff turnover; regional representation of staff at HQ; too much emphasis on concepts like RBM.
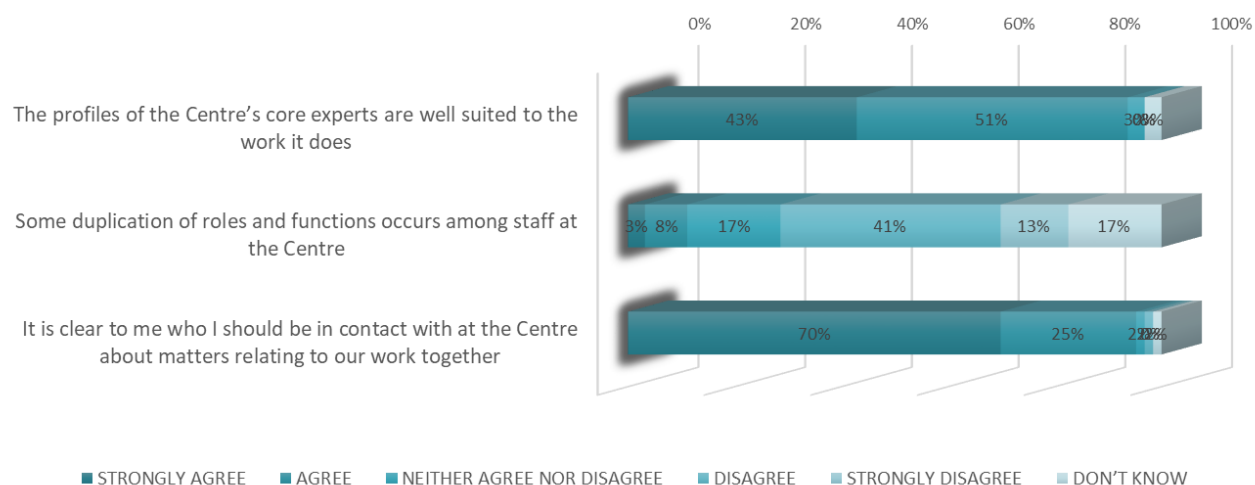
M&E: Clear ToC and ability to monitor and evaluate results? How is impact measured?

Other: bureaucracy, administrative slowness.

Efficiency

- Positive results on efficiency – there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at DCAF to collaborate.

EFFICIENCY

The profiles of the Centre's core experts are well suited to the work it does — 43% | 51% | 3% 0% 0%

Some duplication of roles and functions occurs among staff at the Centre — 3% 8% | 17% | 41% | 13% | 17%

It is clear to me who I should be in contact with at the Centre about matters relating to our work together — 70% | 25% | 2% 2% 0%

■ STRONGLY AGREE   ■ AGREE   ■ NEITHER AGREE NOR DISAGREE   ■ DISAGREE   ■ STRONGLY DISAGREE   ■ DON'T KNOW

Sustainability

- ▪ **Do you have any examples from your collaboration with the Centre where an intervention has lead to lasting change?**

• CSDP working group; Anti-corruption trainings and sharing of the best practices
• Interaction on Regional Dialogue Mechanisms; Exchange on Security Sector Reform in a particular country
• ISSAT supported the EU in developing its new SSR policy that was adopted in 2016; ISSAT is currently supporting the EU in engage effectively in SSR support in The Gambia. It is too early to see "lasting change" but ISSAT support is relevant and effective; ISSAT is carrying out an assessment of the security sector in some Sahel countries. In doing it ISSAT is also developing an analytical framework that will be used by the EU to prepare an internal guidance on security sector analysis. This is ongoing, so too early to assess results; The capacity of the EU delegation in Guinea Bissau to engage in the security and justice sector was enhanced by ISSAT advice and training.
• Work on linkages between mine action and security sector reform, as conceptual underpinning for concrete work in the field; Work on gender & diversity, though this is rather the beginning of a process; Work in Ukraine; Work on RBM for peacebuilding, security and development
• Civil society observatories project in Africa - empowering civil society to engage with security providers in a constructive manner; Work with Tullow Oil training police on human rights in Kenya - demonstration of power of private sector partnership
• Raising awareness on Police integrity; Capacity building of police integrity trainers; Capacity building of police gender trainers; Adults learning on gender
• Introduction of SSR to Philippine civil society leaders who work in peace and security areas; Introduction of SSR to Philippine legislators, some of whom are now proficient in SSR work; Institutionalised training programme with the National Defense College of the Philippines, to conduct yearly workshops; Inter-Parliamentary Forum on Security Sector Governance in Southeast Asia, that has guided a good number of parliamentarians in their oversight work
• Trainees continue to do more research; Networking with other countries; Able to discuss related issues
• Although as the senior advisor for the crowd management component, I have been called upon for important

discussions of the centre since 2014 till up to date
• The DCAF's publications translated into local language have stimulated local CSOs to strengthen the civic oversight over security sector; publication on security sector reform has led to launching some new parliamentary oversight functions over security sector; recommendations provided during the national workshop were taken into consideration when local military reform was launched
• Integration of human rights aspects in standard curriculum; promotion of gender equality in development career
• IPF-SSG: network of multi-stakeholders in Asia; informal network of multi-stakeholders in Thailand; commitment of some participants in Thailand to SSR/SSG; information provided still used/circulated to new generation
• Multi stakeholder's perspective; Participatory approach; Decentralised perspective; Innovative orientation
• Elaborating SSR/SSG guidelines for the executive structures of the OSCE; Policy advice to the UN contributing to a state-of-the-art approach to SSR/SSG; Policy advice to the Slovak Republic shaping its SSR/SSG policy over more than a decade
• DCAF's representations have led at least one donor government - potentially followed soon by others - to understand the relevance of creating a funding mechanism to support field implementation activities in the field of business and security challenges
• Broder Security Programme to WB counties visa liberalisation; Input to the changes of the WB countries legislation; Border security - Training programmes; Cross border police cooperation in the WB region
• Projects to train police officers about integrity; gender; integrity; Trainings of trainers
• In Ukraine, DCAF was the key promoter of the adoption of democratic control legislation. DCAF continues to have the strong influence on improving the mechanisms of parliamentary control in Ukraine; Cooperation with DCAF played a key role in promotion of individual expertise in the area of democratic control for the number of civilian leaders in Bulgaria, Ukraine, Georgia; DCAF via research and best practices promotion has made a very important contribution to establishing an informed and well educated public discussion in Central and Eastern Europe in several areas like defence planning, defence procurement and fighting corruption in defence; DCAF projects facilitating the launch of the radical reforms in the former communist countries related to the issues of parliamentary control over intelligence, gender issues, etc.
• Facilitating the establishment and functionality of the Parliamentary Committee on Security of the Kosovo Assembly; Drafting Strategic Environment Review and Security Threats Assessment Chapters of the Internal Security Sector Review of Kosovo
• Project "Intelegencia" changed the opinion in good way on the importance of openness and transparency of counter and intelligence, the need to regulate their work for a strong guarantee of the protection and respect of human right, and most importantly this project has developed a strong debate and raising the awareness of NGO's and citizen not allowing the Gov along to take decision without inclusiveness of all stakeholders. This project helped in Macedonia to develop and embrace democracy
• Support to fragile states, especially in Africa (Sahel region)
• Community safety project; Gender and Civil peace project; Reform in the Palestinian security sector (including the concept of democracy and human rights in their work)
• Monitoring of military units in Tajikistan; Ombudsman's apparatus capacity building; ICOAFs; Translation into Tajik and publication of DCAF materials
• Cooperation in training north African journalists on SSR and arms control issues
• Organising the Inter-Parliamentary Forum on Security Sector Governance in Southeast Asia (IPF-SSG); the security sector governance study group in the Philippines; annual session with the National Defense College of

the Philippines; SSR related activities in Thailand, Cambodia and Myanmar

- Establishing Civilian Border Control (IBM) in the Western Balkans; Gender and the development of a set of praxis oriented tool kits in this area; PMSC and the setting up of the Montreux Process; Assistance to the UN, the EU, the OSCE, ECOWAS and the AU in shaping their SSG/SSR strategies

What were the factors that supported this sustainability?

- **DCAF staff and Human resources:** Commitment and Follow-Up; SSR knowledge and expertise; quality of methodological work; Diplomatic attitude; dialogue and consensus; Cultural sensitivity

- **Approach:** Openness; Continuity; comprehensive approach; responsiveness, flexibility and capacity to engage with national actors, are expected to lead to sustainability; Focus on national ownership and empowerment; Focus on change in behavior/reflexes of participants, follow-up; Ability to "see the big picture" in terms of shared objectives; Multidisciplinary approach; First institution to seriously look at gender in an SSG/SSR context

- **In the field:** Close collaboration with the partner; experience sharing; understanding of the national context; cooperation; regular platforms for discussion (conference, workshop); Center keeps contact and engage civil society organisations and experts which makes any initiative sustainable and long lasting

- **Image and Reputation:** credibility; Networking; relevance for security issues; leadership in the field; neutrality and transparency

- **Trainings:** Capacity building of police in-house trainers; Motivation of trained trainers; Pedagogy; distribution of materials (training manual on police integrity) that can be used even after the training; publications

- **Financial resources:** support of local and regional partners

Additional comments

- Representation offices should be opened in the field.

- ISSAT is an extremely valuable partner for the EU, both in the development of methodological tools and on operational support. ISSAT is also very valuable for its capacity to connect different international actors (UN, World Bank, AU and some relevant bilateral) active in SSR support.

- The cooperation with DCAF is growing and has not reached its full potential, but looks promising.

- DCAF fills a gap in the market. It can coordinate both funding and activity on the ground, taking the lead directly where needed, but working with partners where more impactful/practical.

- It would be good for DCAF to get support from more varied sources so that good programmes can be sustained. While government support is important (and could be sustainable), support for the continued inclusion of civil society organisations should be sustained. SSR dialogues can bring about concrete results when both government and non-government voices are balanced.

- Regarding parliamentary oversight of the security sector, the centre should reach to all parliamentarians in the country as well as security sectors, so that everyone in the country can aim for the same vision for democratic change.

- The DCAF should be further supported by the Swiss government and other donors as it is one of the few organisations in Europe and the world working on security sector reform.

- This programme is lousy. I have been involved with all three institutes and the form did not inform what I am evaluating. All comments here are for GCSP but professionally I was involved with DCAF and GICHD and board member of GICHD.

- The team we work with is 100% dedicated to fulfilling the objectives of the project

- DCAF's Police Integrity Building Program (PIBP), has supported PIK in achieving its mission. Police Integrity can only be addressed efficiently and effectively if all state and non-state actors, as well as civil society, oversight institutions and international assistance providers, work together towards the common goal—maintain police service that functions with integrity.

- My previous experience with colleges from DCAF is very positive. Except their professional obligation to provide services, they have personal obligation to give support. Besides their experience, they have knowledge to pass their experience to the others. Collaboration with DCAF has been useful for the institution where I work and for me personal.

- DCAF plays the leading role in supporting parliaments, governments, institutions and think tanks in the issues of democratic control. In case DCAF is successful to find additional resources, certain educational programmes for younger generation of the future security sector experts and practitioners (in the universities) could be launched...

- DCAF should continue its work and develop it more, to have long-term programmes and to have an annual evaluation of the Foundation's programmes.

- It is desirable for the Center to widen and intensify its activities in Georgia, it is a small country, with the limited resources and weak institutional capacity, and it is not so difficult to make positive change.

- DCAF has been very helpful and successful in mainstreaming the security sector governance and security sector reform discourse in Southeast Asia. Its success could be attributed to its intellectual rigour, focus, cultural sensitivity, passion and high level of professionalism of its personnel. DCAF always made a follow through of its initiatives and maintain regular contact with stakeholders in the region.

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