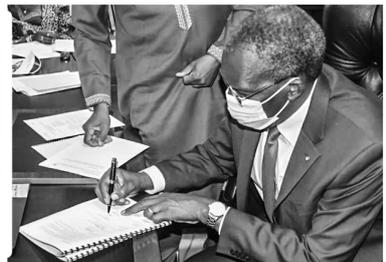


**2020 PERFORMANCE  
REPORT**



**DCAF is dedicated to making people  
more secure through accountable  
and effective security and justice.**

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# Foreword

Armed conflict and violence are major obstacles to sustainable development. They create enormous human suffering and disrupt livelihoods, leading to poverty and dislocation. With a growing proportion of the world's poor living in countries affected by conflict and fragility, it is imperative to strengthen the rule of law and promote human rights and gender equality to help secure stability and development. This was never truer than in 2020, when the global health crisis created by COVID-19 led to unprecedented socio-economic crises that will leave deep and long-lasting scars.



We believe that an effective and accountable security sector is key to overcoming fragility and creating the conditions for peace and sustainable development. Across the diverse contexts in which DCAF is active, we strive to continuously gear our assistance towards the achievement of lasting and significant change for our partners.

While our work contributed to several excellent results in 2020, security sector reform processes are by their very nature long, complex, and politically delicate. Our experience shows that it is an incremental process with episodes of progress punctuated by periodic reversals. However, as this report illustrates, states and their populations benefitted greatly from our support in the short term, and these results will help form the foundation for broad-based change down the road.

This performance report illustrates our strong commitment to results-based management (RBM) and our continuous efforts to improve and refine our monitoring and evaluation. Through our strong results-orientation, we not only continue to enhance our accountability to partners and donors, but we also pave the way for continuous learning from our experiences and that of our partners. I wish to express my appreciation to Dr. Arie Bloed who has once again so ably analyzed our extensive activity reports and prepared the report you are about to read. I hope you will enjoy it.

A handwritten signature in black ink, appearing to read 'T. Guerber'.

**Thomas Guerber**

DCAF Director, Ambassador

# Executive Summary

This fifth annual Performance Report provides an overview of the impact of our work over the past year – on the ground supporting partners in projects around the world, and in boardrooms and meeting rooms framing policy discussions and doing innovative research. It demonstrates the rich variety of our work and the results we have achieved for our stakeholders, often in very challenging environments. The results you will read about are a testimony to the fact that DCAF, now twenty years old, is a trusted partner to governments, security sector actors, multilateral organizations, and civil society groups.

Not surprisingly COVID-19 posed unforeseen challenges for us and our partners this year. Governments, militaries, and police forces around the world were drawn into pandemic response and managing the subsequent shock waves that COVID-19 sent through families and communities. This had a great impact on the implementation of our projects. At the same time, we managed to pivot and regroup to meet the demand for advice, tools, and guidance as our partners struggled to cope with the unprecedented global health crisis. You can read more about our COVID-19 response activities on page 12.

This year DCAF also embarked onto new territory by launching research and policy activities in hitherto uncharted areas, such as security and migration and security and climate change.

## Meeting strategic objectives

The results presented here demonstrate DCAF is on track to achieve our strategic objectives as articulated in the [DCAF Strategy 2020 - 2024](#).

The first strategic objective – reaffirming the value of democratic governance in addressing current and emerging security challenges – has produced significant results in several countries where DCAF is actively supporting SSG/R processes, in particular in Yemen, Colombia, and the countries of the Sahel.

Our second strategic objective – enhancing SSG/R engagement in fragile and conflict-affected contexts – has seen significant results in Sub-Saharan Africa, the Middle East, and Latin America, especially in Niger, The Gambia, and Honduras.

Important results have also been achieved concerning our third strategic objective – the strengthening of the SSG/R contribution to international policy and practice – with the launch of the updated flagship *Gender and Security Toolkit* and several research publications, such as the *SSG/R Backgrounder on Health Crises and the Security Sector*.

“ Without DCAF and without our important partnership many things would not have been done, and would not have happened. Whether it is in the United Nations context, or in various other international organizations where we have together been promoting the issue of security sector governance and reform.”

— Ambassador Michal Mlynár  
Permanent Representative of the Slovak Republic to the United Nations, New York

## Overarching themes

Results are presented in this report according to the three main pillars of DCAF's work: direct support to national partners; assistance to international actors; and contributions to international policy development and good practices. The overarching themes that ran through our work in 2020 followed a similar pattern to previous years.

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## Legal regulations

A proper legal framework, in accordance with the principle of the rule of law, is indispensable to the effectiveness and accountability of the security sector. Weak legal norms and standards can exacerbate grievances, which can in turn become root causes of conflict. It is, therefore, no surprise that a key theme of DCAF's work is the reform of the legal SSG/R framework in all its dimensions. This includes support for the development of effective laws, the creation of internal regulations, support for the state bodies that oversee their implementation, or the regulation of private security operations. The importance of this dimension of security sector reform cannot be overestimated, since law enforcement and security agencies can only function effectively if the law provides a proper framework of checks and balances.

In 2020 DCAF contributed to the achievement of results in this area in Central and Eastern Europe and Sub-Saharan Africa. Significant progress has been achieved

in Ukraine where DCAF's expert advice had a clear influence on the new Law on Intelligence which was adopted by the Verkhovna Rada in September 2020. In North Macedonia the new law governing the National Security Agency, adopted in 2019 with a strong input by DCAF, became operational, and a Council for Civilian Supervision of the use of interception of communications was created. All these developments are aimed at preventing the abuse of these tools for political reasons.

In Niger DCAF provided input to the ongoing drafting of a large number of specialized laws, with one law applying to the National Police formally adopted by parliament and entered into force. In Guinea, a major step forward was made by the Ministry of Security and Civil Protection with the adoption of a decree to regulate the private security sector. The decree was strongly influenced by a DCAF-supported inclusive multi-stakeholder process, which in itself is a significant development in the country.

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## Improving the policies and strategies of security sector institutions

Taking a strategic approach to the complicated processes of security sector reform is essential to achieve sustainable results. This year DCAF contributed to the adoption of strategic plans in several countries. In The Gambia, the National Security Strategy and the National SSG/R Strategy were formally adopted and launched by the government, kicking off a new phase in the country's efforts to develop a professional and accountable security sector after many years of authoritarian rule.

In Albania, the Minister of Interior adopted the first ever Integrity Plan for the Albanian State Police, created with our recommendations.

During the drafting process, DCAF facilitated the exchange of experiences with experts from other countries, adding a valuable dimension of cross-border cooperation that enriched the results.

In Lebanon, the Internal Security Forces developed its very first Communications Strategy which provided a framework for the mission and functions of the Public Relations department. In Honduras, DCAF contributed to the adoption of a Strategic Communications Plan for DIDADPOL, the external oversight body of the Honduran National Police, which articulates its role in increasing public confidence in the police force.

## Strengthening democratic oversight mechanisms

Although in principle national parliaments provide oversight of the security sector, in practice this is often hampered by the fact that national security is seen as a taboo subject and members of parliament may be reluctant to tackle politically sensitive issues. They also are often unaware of how to perform their monitoring role. This year DCAF has made a difference by assisting parliaments to elaborate the proper legal framework, and by raising awareness among members of parliament about the critical importance of their oversight function.

In Niger, to avoid the chronic loss of institutional knowledge in the frequent

In Niger, new handover materials help ensure continuity in oversight by the Parliamentary Committee.

changes of government, with our support the Parliamentary Committee on Defence and Security developed a video and other handover materials to ensure that incoming committee members benefit from the experience of their departing colleagues.

In Tunisia, DCAF contributed to a new system of monitoring juvenile detention centres through missions of youth protection delegates and magistrates. It aims to achieve more effective oversight and promote the reintegration of juveniles and the wider use of alternative sanctions.

In the Occupied Palestinian Territories, the *Seventh Annual Report on Complaints* was published by the Council of Ministers. Based on a methodology prepared with the help of DCAF, it covers 58 complaints departments and for the first time refers to anti-corruption complaints as a separate category. This report is a highlight of DCAF's capacity building efforts in partnership with the Council of Ministers.

## Strengthening the capacity of civil society

The role of civil society in SSG/R processes is essential for building the legitimacy and transparency of the security sector. Over the years DCAF has contributed to making space for civil society to participate in reform processes and helped build its capacity to take on an effective oversight role. This year remarkable results were achieved in The Gambia, where the *Strategy for CSOs' engagement in the SSG/R process* became a critical tool in ensuring the inclusiveness by identifying entry points for civil society to influence decision making within the Government, security institutions, and other oversight actors.

In Nigeria, the authorities created a Committee to review an existing law governing private security, with a mandate to develop a new Private Security Industry Bill. The African Law Foundation was the only civil society organization selected to sit on the Review Committee. The result is that the Foundation has gained unparalleled access and the opportunity to influence

private security regulation because of its involvement in the DCAF-supported African Private Security Governance Observatory.

In Nigeria, the authorities created a Committee with the mandate to develop a new Private Security Industry Bill.

In mining communities in Peru and the Democratic Republic of the Congo, DCAF-supported multistakeholder working groups have brought together representatives of government, civil society, and companies to resolve disputes and manage ongoing issues. These groups have been so effective that local stakeholders are now regularly asking them to intervene when tensions are rising.

## Promoting gender equality

Advancing gender equality was high on DCAF's agenda in 2020 and support for national partners to mainstream gender in their projects and policies was provided in all regions of DCAF's operations.

In Honduras, the National Police followed DCAF's recommendations to pay extra attention to cases of gender-based violence during the pandemic. Orders were sent out to prioritize these cases, especially those involving domestic violence. A similar approach was followed by the Colombian National Police, where the General Director formally endorsed the recommendations

of the DCAF-supported Gender Self-assessment and took actions to start implementing them.

DCAF's support for authorities in Ukraine to combat domestic violence and violence against women received recognition from the European Court for Human Rights in its first ruling on domestic violence in Ukraine. In the case of *Levchuk v. Ukraine* the Court found the Government to be in violation of its commitments under the European Convention and referred to a baseline study conducted by DCAF and our local partner in the judgment.

The Honduran National Police instructed all Directors and Commanders to prioritize cases of gender-based violence reported during the COVID-19 pandemic, especially those regarding domestic violence.



Police officers in Colombia in a training that explores how gender issues and inequality can be more effectively addressed in their day to day work. Photo: DCAF.

## Strengthening national training capacities

Security sector reform requires substantial changes in the behaviour and skills of security and justice officers, which can only be achieved through clear guidance from the leadership that is supported by professional training programmes. DCAF's training support is always designed as part of a comprehensive SSG/R approach which increases the chances of sustained impact in comparison to stand-alone training programmes. DCAF also aims to enhance the sustainability of its capacity building by ensuring that new training modules are integrated in permanent training curricula.

In 2020 in Niger DCAF contributed to a new anti-sexual harassment policy at the National Police Academy which was approved by its Director. The new modules have been fully integrated in the standard curriculum along with improvements in promotion training courses.

In Honduras, DCAF contributed to the establishment of a Mentoring Unit in the Honduran National Police aimed at decreasing the high drop-out rates of new officers, while in North Macedonia a new training curriculum on authorizing communications interception has been introduced into the training programme at the Academy for Judges and Prosecutors.

An interesting result was also achieved in the area of public security: *DCAF's Toolkit on Addressing Security Challenges in Complex Environments* was the basis for the development of a special training module for the Mining Police in the South Kivu province of the Democratic Republic of the Congo. The Mining Police have taken ownership of the module, using it independently in their general training courses.

## Increasing regional cooperation

DCAF tries to facilitate support for national reform processes by connecting them with regional counterparts wherever feasible and beneficial. In 2020 this resulted in increased cooperation between national Computer Emergency Response Teams (CERTs) to fight cybercrime in the Western Balkans. Only a few years ago communication and cooperation hardly took place, but now there is regular formal and informal communication as well as operational cooperation. This is possible because of the trust established during joint activities organized by DCAF.

In 2020 we saw deployment of criminal investigators between parties to the Police Cooperation Convention for Southeast Europe. Experts involved praised the rewards of such regional cooperation and it is expected that this tool will be used more frequently after the COVID-19 pandemic which halted the deployment of officers in the spring of 2020.

In the Sahel there was enhanced cooperation among the main actors in charge of SSG/R policies in Mali, Niger, and

The adoption of a joint Strategic Regional and National Plan constitutes a major step forward in regional cooperation in security sector reform.

Burkina Faso. This DCAF-supported activity resulted in the adoption of a joint Strategic Regional and National Plan.

All over the African continent the African Private Security Governance Observatory continued to strengthen its network of civil society groups working together to promote good governance of the private security sector. The DCAF-supported Observatory was successful in generating national change dynamics toward more effective regulation, monitoring, and oversight of the private security sectors in Guinea, Nigeria, Democratic Republic of the Congo, and Burkina Faso.

## Enhancing bilateral and multilateral support to SSG/R

Bilateral and multilateral organizations have a critical role to play in shaping the global SSG/R agenda through policy development and a wide range of support to projects on the ground. When they coordinate their efforts, they are even more effective.

In 2020 the OSCE reviewed the implementation of its guidance framework on SSG/R, which resulted in the decision to update its *Guidelines on SSG/R*. Moreover, there is a perception of increasing support for the SSG/R agenda among its senior managers, partly due to a briefing note that DCAF produced, as well as to the strong support for SSG/R work by the Slovak Chairmanship of the OSCE in 2019.

There is a major benefit to be gained by jointly analysing and supporting national SSG/R processes. In 2020, while the first joint EU-UN-OSCE SSG/R assessment mission in Kyrgyzstan had to be put on hold due to the COVID-19 crisis, the EU consulted with the UN and OSCE on the results of its own independent analysis. This illustrates that the newly developed cooperation on

assessment missions is being put into action.

DCAF also became a partner in the process to achieve a peace deal for the conflict in Yemen. DCAF contributed directly to the texts for the draft peace agreement through its work with the Office of the UN SG Special Envoy to Yemen, with a focus on security governance.

The EU, UN, and OSCE engaged in a new level of cooperation in support of national security sector reform processes.

The EU Emergency Trust Fund for Africa was also able to take forward the implementation of recommendations from DCAF security and justice assessments in Niger, Burkina Faso and Chad, which were undertaken using a new methodology and innovative tools developed by DCAF, creating a new standard in this area.



DCAF organized a forum for security sector actors and other national stakeholders in The Gambia as part of a review of the national Armed Forces Act. Photo: DCAF.

## Lessons learned, going forward

Reform is an iterative process, taking lessons learned and integrating them into new approaches to continually refine what we do to try to achieve the greatest impact.

We will be enhancing our knowledge management capacity in coming years, to enable us to develop a more systematic corporate body of knowledge on what works and what does not in terms of

reform and governance processes. Our commitment to breaking down barriers to sharing both successes and failures, and our determination to integrate relevant knowledge into our future research and programs will not only augment the relevance of our organization and its value proposition; it will also enhance our accountability to all our partners and donors.

# Introduction

This report is based on DCAF's results-based management reporting system, which emphasizes our results rather than our activities. As such, it is not a comprehensive accounting of all our work in 2020, much of which constitutes ongoing research and operational support that is paving the way for future success. We have prepared an exhaustive summary of the key activities that underpin the results reported here, which is available upon request.

Rather this Performance Report presents immediate and intermediate results to which we have made a significant contribution through policy and research, expert advice, and support to national and international partners. You can read more about the full range of our activities in DCAF's 2020 Annual Report, which is available at [www.dcaf.ch](http://www.dcaf.ch).

## Data collection and analysis

Throughout the report the results have been briefly positioned within the overall range of activities in regions and thematic areas to illustrate the broader context in which they were achieved.

For the 2020 monitoring period DCAF's teams submitted over 65 reports documenting the impact of their projects and programmes. These reports were independently analyzed and validated through a process guided by external expert Dr. Arie Bloed to ensure transparency and accountability. For detailed information on our RBM process, see the Annex at the end of this report.

At DCAF we care deeply about helping to make lasting change to security at the individual, community, and state level. We view these changes as an essential part of creating a solid foundation for peace and sustainable development. We are committed to focusing on results and continually challenging ourselves and our partners to find innovative ways to measure progress in our field.

“ A partner as effective as DCAF can only be recommended to other institutions. ”

— Me Ali Sirfi Maiga,  
Mediator of the Republic of Niger



# DCAF's Response to COVID-19



In 2020 governments the world over went into a state of emergency trying to manage and mitigate the impact of the COVID-19 health crisis.

Police forces, militaries, and private security companies were called into action to help implement and enforce public health measures and deal with the shockwaves the pandemic caused in economies and communities. In many cases security institutions and actors found themselves unprepared for the enormity and complexity of the task. Reports of human rights abuses and abuse of power highlighted gaps in governance and accountability and in some cases the need for reform.

From the outset DCAF responded to our partners' emerging needs, identifying opportunities to increase capacity, resilience, and collaboration between security institutions, governments, and civil society with the aim of addressing the crisis more effectively. This included a range of activities, some of which led to results that can be read about in this Report:

- Providing **training and facilitating new partnerships** between private and public security agencies when regular law enforcement bodies were struggling to manage the enormity of the crisis on their own.
- Providing **policy advice to police agencies** to help them more effectively address the sharp rise in gender-based violence that was seen in many countries during the pandemic.
- Giving special **training on health protection** to law enforcement agencies that were working to protect victims of the pandemic without adequate safety measures for their own officers.
- **Sharing information and best practices** with civil society and the private security sector through the DCAF-supported African Private Security Governance Observatory.
- Supporting awareness raising campaigns to educate the public on their rights during a state of emergency to **help increase civilian oversight of security forces**. In the Occupied Palestinian Territories this resulted in a flood of calls with requests for further information about the complaints mechanisms of several security agencies.
- Conducting an **impact assessment** in Morocco on the State response to violence against women during the pandemic which resulted in policy recommendations to the national police, the gendarmerie, and the justice sector and a public information campaign.
- The annual **International Conference of Ombuds Institutions for the Armed Forces (ICOAF)** was dedicated to the impact of COVID-19 on armed forces personnel. Participants discussed the impact of the pandemic on the rights of both armed forces personnel deployed to assist civilian authorities, and civilians who experienced excessive use of force or the misuse of authority.
- Producing policy advice and lessons learned guidance papers for **national partners and multilateral organizations** addressing emerging challenges for SSG/R in the pandemic, in particular in conflict-affected, fragile states.



Officer in Tripoli, Libya. Photo: Nada Harib for DCAF.

# KEY ACHIEVEMENTS AND RESULTS

Direct support to **national partners** in their efforts to reform the security sector.

Assist **international actors** to enhance their support for nationally-led and locally-owned security sector reform processes.

Contribute to the development of **international policy and good practices**.

## Our expertise



Parliamentary Oversight



Gender and Security



Police and Law Enforcement Reform



Defence Reform and Integrity Building



Border Management



Justice Sector Reform



Intelligence Management



Independent Oversight Institutions



Business and Security



Civil Society Oversight of the Security Sector



Cybersecurity



Health Crisis



Climate Change

## Our partners



Multilateral Organizations



Government Ministries



Parliaments



Police



Private Sector



Civil Society



Ombuds Institutions



Development Agencies



Media



Armed Forces



Border Police



Intelligence Services



Judiciary



Academia

# Supporting National Partners



DCAF welcomed the Minister of Human Rights and the Minister of Mines from the Democratic Republic of the Congo to discuss our support for the DRC's implementation of the Voluntary Principles on Security and Human Rights in the extractives sector. Photo: Jean Pierre Onema.

In 2020, support for national partners was the main area of activities for DCAF, both in terms of budget and scope of projects and programmes. A strong focus of DCAF's work was on South Eastern Europe, MENA, Sub-Saharan Africa, Latin America and Asia-Pacific, where projects of a longer duration are being implemented. DCAF's fast response to partners' emerging needs in coping with the COVID-19 crisis constitutes a new element that contributed to some key results in this challenging year.

# Sub-Saharan Africa



DCAF continued to build on past achievements in support of SSG/R processes in Sub-Saharan Africa, and to advance its work on cross-cutting thematic priorities such as gender mainstreaming, prevention of violent extremism, and private security governance. DCAF reinforced its approach and its operational presence in East Africa by opening an office in Addis Ababa. A new agreement was signed with Germany to support defense reform in The Gambia, and a programme was designed for joint implementation with Switzerland to enhance our understanding of the prevention of violent extremism in West Africa. Alongside support to national actors in the Sahel region, DCAF enhanced cooperation with the Economic Community of West African States (ECOWAS) to contribute to the promotion of security, development, and the rule of law.

In 2020, while there have been some notable success stories of countries gaining democratic ground, close to half of the countries in Africa remain highly fragile with respect to the governance of their security sector. In addition to the protracted, if not exacerbated, security challenges in the Sahel region, and conflict in Ethiopia with potential regional impact at year's end, a large number of countries in Sub-Saharan Africa are classified as highly susceptible to internal conflict such as Sudan, Mali, and Burkina Faso.

DCAF also continued its work on the establishment and strengthening of various multi-stakeholder mechanisms in the Democratic Republic of the Congo aimed at promoting the much-needed dialogue and cooperation among authorities, extractive industries, and private security firms in order to ensure a coherent approach of security and human rights issues.

Beyond West Africa, DCAF helped strengthen the capacities of the Ethiopian federal police by contributing to the modernization of the force and supporting the basis for the long-term development of a professional police that responds effectively to the security needs of the population.

DCAF helped strengthen the capacities of the Ethiopian federal police by contributing to the modernization of the force.

## African Private Security Governance Observatory

Since 2017 DCAF has promoted the role of civil society groups in the oversight of private security in Africa through its support for the African Private Security Governance Observatory. The Observatory offers a unique combination of civil society capacity building and promotion of norms, good practices and standards for private security governance. It has contributed to a remarkable strengthening of the role of civil society groups in the private security domain in large parts of Africa in the past few years. Groups in the Observatory draw on DCAF's wide range of private security expertise, including with respect to promotion of the Montreux Document and the International Code of Conduct.

The Observatory, with DCAF's support, continued its awareness raising and advisory activities throughout the year. It also addressed the new challenges brought by the COVID-19 crisis, which has expanded the roles played by private security companies as they have been called upon to provide help in enforcing government measures to try to contain the pandemic. **Trainings on how to adequately respond to COVID-19** had a positive impact on the work of both private security companies and law enforcement agencies, which is an important **first result** of DCAF's support for the Observatory in 2020.

The Federal Ministry of Interior and Nigeria Security and Civil Defence Corps constituted a 20-member committee with the mandate to develop a new Nigerian private security industry bill.

Further results are related to the private security regulatory frameworks in various African countries. In this context, the **second result** was achieved in Guinea, where the Ministry of Security and Civil Protection adopted a **new decree which regulates private security**. The decree was strongly influenced by a DCAF-supported multi-stakeholder process that included civil society groups, the government, private, and public security. The new decree

takes into consideration several comments and proposals reflecting international good practices as suggested by DCAF and its local partner, Centre du Commerce International pour le Développement (CECIDE). The decree is a direct result of the baseline study and its recommendations developed in the framework of the Observatory. The Minister sent a first draft of the new decree to CECIDE for its inputs and comments, a first step which catalysed an innovative multi-stakeholder approach to regulation. An important result of the recommendations from this process was that the Minister decided to include private security in the wider security sector reform process and started a revision of the legal framework on private security in the country.

The **third result** in the area of private security regulation can be identified in Nigeria. The Federal Ministry of Interior and Nigeria Security and Civil Defence Corps (NSCDC) constituted a **20-member committee to review the Private Guard Companies Act 1986** with the mandate to develop a new Nigerian private security industry bill for legislative process by the federal government. With DCAF technical support, and following the DCAF-supported Private Security Governance Forum, the African Law Foundation (AFRILAW), a member of the Observatory, was selected as the only civil society member of the review committee. AFRILAW has thus gained unparalleled access to the authorities because of its involvement in the Observatory. Subsequent outreach to the Nigerian government has raised the possibility of Nigeria joining the Montreux Document and the International Code of Conduct Association.

The **fourth result** concerns the **growing membership of the Observatory**. In 2020 the Observatory network welcomed six new members through various channels: referral by an existing member, follow-up of attendance at a workshop, and increasingly as a result of direct requests via the website. It now has 90 members from 18 African countries. It is expected that several national Observatory networks will grow further as a follow up of ongoing processes, for example in Nigeria, Guinea, the Democratic Republic of the Congo, and Burkina Faso. ■

## The Sahel region

DCAF's Sahel programme, covering Burkina Faso, Mali and Niger, was launched at the end of 2019 and is complementary to our national projects in Niger and Mali. The major challenge faced by Burkina Faso, Mali, and Niger is to promote democratic security governance in the context of a multidimensional security crisis. Indeed, the three countries are today, to varying degrees, in a situation of non-state armed conflict. The SSG/R process formally launched in Mali in 2013 is thus being conducted in a context of deep insecurity and, since the 2020 coup d'état, of relative institutional uncertainty. In Burkina Faso and Niger, the defense and security forces suffered heavy losses in an extremely tense political and strategic environment, while the internal security forces seem powerless in the face of increasingly violent insecurity and criminality.

The Sahel programme is built around three results:

- to support the development of a national and regional environment conducive to enhanced control and oversight of the security sector;
- to sustain the reinforcement of public confidence in government security institutions; and
- to improve the effectiveness and professionalism of security institutions.

The **first result** of DCAF's work in these sensitive environments can be observed in Burkina Faso. **The government has adopted a National Security Policy** and DCAF is contributing to the dissemination and implementation of this Policy through the development of a security strategy document and action plans as well as through fostering relations between the General Secretariat of National Defense (SGDN) and the media. This last activity resulted in the development of a remarkably strong partnership between journalists and the SGDN as it is convinced that it is critical to the successful implementation of the new National Security Policy. For this purpose, it developed a special communication strategy that endorses the role of the media in security sector governance. This was an important development that was strongly driven by the security sector

itself and warmly welcomed by the mass media. This easing of access to information about the politically sensitive security sector opened the way for security sector actors to communicate with the media in implementing the new Security Policy.

The SGDN developed a special communication strategy that endorses the role of the media in security sector governance. This important development was strongly driven by the security sector itself, and warmly welcomed by the mass media.

The **second result** is related to the regional approach in addressing SSG/R issues through the development of a joint strategic plan. A delegation from the National Center for Strategic and Security Studies (CNESS) in Niger visited the SGDN in Burkina Faso, which extensively **shared its experiences in developing security policies and strategies** to which DCAF has also made a contribution. This resulted in the adoption of a joint Strategic Regional and National Plan by the three countries and constitutes a major step forward in improving regional cooperation in SSG/R. ■

## Mali

In 2020 DCAF continued its work on the comprehensive multiyear programme to support SSG/R in Mali by focusing on capacity building, including its assistance to an effective functioning of internal oversight bodies, as well as on external actors such as civil society and the National Human Rights Commission. The combination of continuous security related challenges, perceived ineffectiveness, disinterest, or lack of priority by the security forces in regions and the capital has led to distrust towards security forces, which these local communities deem corrupt and unable to answer their needs. Although the security situation in the country remained tense, in particular in the lead up to the coup d'Etat that overthrew former president Ibrahim Boubacar Keita in August 2020, and the resulting uncertainty regarding the 18-month transition period, DCAF continued supporting its partners by minimizing the politically sensitive aspects and focusing on technical reforms related to governance.

The **main result** has been achieved relating to Mali's internal oversight bodies. The functioning of the Inspection Générale des Services de Sécurité et de Protection Civile (ISSPC) has been substantially improved through **the adoption of a procedure manual for pre-disciplinary investigations**. The manual makes a distinction between 30 different cases of non-compliance with internal procedures, which allows for a strengthening of the ISSPC inspection reports and the documentation of internal statistics as well as for better tracing of misconduct by security personnel. The ISSPC inspectors put the manual to use only days after its formal validation during the inspection mission of the Niono Police Commissariat in Central Mali. This police office had been burned down by the population which was enraged by alleged violations of human rights by police officers. The new manual – to which DCAF contributed -- reportedly helped the ISSPC inspectors to do their work more effectively. ■

## Niger

DCAF continued its long-term involvement in the strengthening of SSG/R in Niger in 2020. Like its neighbouring countries, Niger faces regular cross-border attacks by armed Islamic groups, placing demands on defense and security forces and a related financial burden on the government. Local communities, especially those in regions under the state of emergency, experience continuous security related challenges. Niger is generally considered to be a country which has made serious efforts to address these challenges, notably resulting in the adoption of concrete policies aimed at tackling both national and cross-border security issues. Nevertheless, gaps in governance hamper the state's capacity to respond, and international support to security sector governance in Niger remains crucial to ensuring urgently needed reforms. In this challenging environment DCAF has been able to achieve a number of new results that contributed to an improvement of the functioning of the security sector.

The **first result** is related to **strengthening parliamentary oversight**. In 2019 substantial

progress had been achieved by enhancing the capacity of the Parliamentary Committee on Defense and Security (CDS). In 2020 the result relates to a more effective handover mechanism between outgoing and incoming committee members. The problem of constantly rotating membership has potentially hindered the committee's ability to conduct effective oversight. This is now being addressed through several tools that will facilitate the transfer of knowledge to new committee members following the 2020-21 elections. For the first time, future CDS members will have at their disposal a handover document and a testimony video on the work of the current committee.

The **second result** is related to the area of legislation. DCAF contributed substantially to **the drafting or revision of a considerable number of security-related laws** which all have been validated by key security agencies and are in the process of governmental and parliamentary approval. Due to the presidential elections of December 2020 and February 2021, the fate of these draft laws

remains uncertain. However, in 2020 one law has been formally adopted by parliament and entered into force: “la loi déterminant les règles statutaires applicables au personnel du cadre de la Police Nationale”. Other laws for which DCAF provided advice relate to the regime for arms and ammunition, the regulation of confidentiality of national security issues, the law regulating video surveillance system, and the law on private security companies.

The **third result** relates to the relations between the Defense and Security Forces (DSF) and the media. These **relations have been substantially improved and strengthened** through the creation of a permanent multi-stakeholder platform to improve communication between security forces and civilians. The platform consists mainly of journalists and DSF communication officers. Communication on security issues has also been strengthened through the creation of a manual on good practices and shared values of what is understood by ‘proper security communication’, both for the media sector and the security sector. DCAF has aided the realization of these successes through expert advice and training activities.

The **fourth result** reflects the progress achieved in police training. In an earlier stage DCAF supported the implementation of a Police Integrity Building Programme within the National Police Force. In 2020 DCAF contributed to a **new anti-sexual harassment policy at the National Police Academy (NPA)** which was approved by its Director. The new modules have been fully integrated in the curriculum and have been used to train 200 new inspectors, 200 officers, and 85 police commissioners in 2020. Improvements have also been achieved in the promotion training courses for officers through the development of new curricula by the NPA with the help of DCAF. These new curricula for police officers have been approved by Presidential Decree for Police Cadets Training in 2020 and for the new arrival of police cadets in 2021. Thanks to all these changes the Nigerien Police Academy is the first in the region with such a structured initial training for police officers. This also

explains the interest from other countries in the region for the innovative approach of training at the Academy.

The **fifth result** of DCAF’s work in Niger is related to the improvement of the functioning of the Inspector General of the Security Services (IGSS), the main internal oversight body of the security sector. In previous years the agency made substantial

New anti-sexual harassment modules were fully integrated in the curriculum of the National Police Academy and in 2020 were used to train 200 inspectors, 200 officers, and 85 police commissioners.

progress in the internal management of investigations of complaints about alleged misbehavior by interior security staff. In 2020 further progress was achieved through the **development and implementation of a new manual of procedures for carrying out pre-disciplinary investigations** on alleged misconduct. The new manual has already been put into practice and handed out to the inspectors from all four interior security bodies (Police, Gendarmerie, National Guard and Civil Protection). This should lead to a further harmonization of this sensitive work within the security sector. ■

## The Gambia

In 2017 The Gambia experienced the first democratic change of leadership since its independence in 1965. Twenty-two years of authoritarian rule by former President Yahya Jammeh ended with the victory of Adama Barrow. The new administration initiated a series of overlapping processes covering transitional justice, constitutional reform, national development, and security sector reform, the latter officially launched in September 2017.

In 2020 DCAF completed its multi-year EU-funded project that supported the SSG/R part of that process. The project had two main objectives: to support the Government in its efforts to launch a deep and inclusive SSG/R process; and to support civilian oversight of SSG/R reform.

The **first result** concerns the **adoption of two key strategic documents** following the adoption of the National Security Policy in 2019. These documents are the National Security Strategy and the National SSG/R Strategy. Both strategies were developed with DCAF's support and formally adopted by the executive and launched by the Government in November 2020, which provided a further firm basis and prospect for the ongoing reform processes in the country.

Since the adoption of its three-year strategic plan there is evidence of the Standing Committee taking concrete initiatives in security sector oversight.

Further progress has also been achieved in communication between the security sector and non-state actors which lead to the **second result**. This concerns the creation of a sphere of openness and transparency in which groups from the population and security sector actors started communicating about various, usually highly sensitive, security issues. This activity fostered dialogue and led to **increased interaction and communication on SSG/R related issues** between national security institutions and the population. The success of the project in building relationships and fostering communication among these actors has been demonstrated by the findings of an external final evaluation. The evaluators

observed that participants in DCAF's activities "assessed relationship building with the security services to be one, if not the most, valuable results of their participation".

Likewise, the evaluation found that non-state actors "report that DCAF's efforts have enabled them, often for the first time, to openly discuss security and defense topics, articulate priorities, and formulate action plans" and that they largely credit DCAF with sponsoring SSG/R dialogues and fostering communication between different actors.

The **third result** relates to a further **strengthening of the oversight function of the Defense and Security Committee (DSC)** of the National Assembly. In 2019 a major development concerned the adoption of a three-year strategic plan and 2020 saw the first clear results of this more strategic approach of the committee. This was clearly demonstrated by the project's final evaluation which observed a real ownership of the strategic plan and of the process by members of the Committee. The plan appears to be a source of pride for committee members, as it is the first parliamentary committee to develop such a plan and has enhanced their credibility and respect from other members of the National Assembly.

Since the adoption of the plan, there is evidence of concrete initiatives taken by the Committee on security sector oversight, including:

- Scrutinizing the proposed bilateral security agreement between The Gambia and Turkey, asking questions and raising objections, and ultimately convincing the executive to make substantive changes to the agreement;
- Holding bilateral meetings with the heads of security force institutions during the 2019 budget process so as to have member priorities and concerns addressed during drafting;
- Questioning the Executive over several non-transparent actions such as the implementation of a gun importation law as well as the signing of a high-value agreement with the private company SEMLEX. Interviewees during the final evaluation of the project believe that the ensuing parliamentary debate about both these actions led to meaningful policy changes; and

DCAF hosted a visit from the Vice President of The Gambia Isatou Touray and Minister of Foreign Affairs Mamadou Tangara to discuss our multi-year programme supporting SSG/R in their country. Photo: Antonio Amigo.



- On-going organization of public hearings to discuss these and other security and defense issues.

Progress achieved with respect to the Standing Committee’s performance in fulfilling its mandate of security oversight can perhaps be best summarized in the following quote from the final evaluation report: “At the beginning of the process, Committee members had no relationship with the security force institutions, and, given autocratic legacies, very little idea of their mandate in relation to such institutions. In the words of one parliamentarian: ‘If you don’t know what you are supposed to do you have to sit and work out a plan and given that there was no relationship between parliament and security it was very difficult. Without the training programmes we would not have been able to do our work.’” These training programmes were part of DCAF’s support for the Parliamentary Committee and clearly achieved major results.

**An increasing role for civil society groups in the SSG/R debate** is the **fourth result** of DCAF’s work in The Gambia. The “Strategy for CSOs’ engagement in the SSG/R process” was developed in 2019 as a result of DCAF-organized events. If the developments in 2020 are an indication of the future relations between civil society and the security sector, the Strategy will serve as a critical tool to strengthen inclusiveness of the SSG/R process through identification of entry points within the government, security institutions, and other oversight actors to influence decision making.

DCAF’s activities often constituted the first opportunity for civil society groups and the media to meet and discuss security sector issues, including the advancement of the SSG/R process. For instance, one training event resulted in the first interaction between the Office of National Security (ONS) and civil society groups. Another workshop included a briefing by two members of the ONS. DCAF’s achievements in increasing the participation of civil society in the SSG/R process was confirmed by the final external evaluation, which says participants reported “an enhanced understanding of how they might organize advocacy campaigns around particular issues, increasing comfort with assuming the role of “watchdog” over reform progress, and a generally enhanced knowledge of whom to approach within the security services when seeking information or dialogue around security related issues”.

The **fifth result** concerns **progress in media coverage of the SSG/R processes** in The Gambia. Although the security sector was traditionally seen as an extremely sensitive and risky topic for the media, DCAF’s engagement and workshops served to strengthen the media’s awareness and understanding of security sector reform. SSG/R related activities are now widely covered by the media and the media reports collected during the project have demonstrated an increased interest in, and willingness to, cover security-related issues. ■

## Guinea

In Guinea, COVID-19 created an immense workload for the public security forces and it became clear that they could not do the job alone. The authorities called upon private security companies to help enforce the health measures and restrictions meant to contain the pandemic. Both public forces and private security companies were poorly prepared for this task, and no mechanism for proper coordination was in place. An additional problem was that authorities paid little attention to the protection of the security officers themselves.

Security officers changed their working methods and behaviour to protect themselves from COVID-19, while at the same time providing more effective assistance to the community.

DCAF supported its long-term partner Centre du Commerce International pour le Développement (CECIDE) to provide immediate support to both private and public security in the pandemic, in particular in the zones of Conakry (the zone most affected by the Coronavirus) and Boké (the main mining zone of the country where a large number of PSCs is active). The project focused on providing quick impact training courses about the role of

private security in times of crisis, cooperation between public and private security and protection of human rights in public health crisis situations. The project also undertook an extensive awareness raising campaign focusing both on security company staff and on the community at large with a focus on the role of security agents in the COVID-19 crisis.

The **first result** achieved is related to the fact that public and private security forces have actively used the knowledge and skills gained through the project to protect the rights and health of their officers, so that they in turn could better protect the communities where they operate. Monitoring proved that the **security officers actively changed their working methods and behaviour** to protect themselves, while at the same time providing more effective assistance to the community. Monitoring of the awareness raising activities to the population also demonstrated that they had a visible impact on promoting better protection against infection among the general population.

The **second result** was **better coordination between public and private security forces**. This provides an important foundation for improved coordination in the future, not only on COVID-19 response, but also on other security issues such as in relation to the extractive industries. ■



In Guinea, DCAF supported a local NGO with an awareness raising campaign to improve the COVID-related health and safety practices of private security forces. Photo: CECIDE.

mon amie t'es aussi perdue!  
aaaah bon ma copine je suis dans les affaires

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# Middle East and North Africa



Contributing to human security by advancing democratic governance, the rule of law, and respect for human rights remain at the forefront of DCAF's work in the Middle East and North Africa.

In 2020, DCAF continued to support democratic transitions and promote SSG/R with a focus on improved service delivery and accountability, and the legitimacy of security providers, especially with regard to the COVID-19 pandemic. DCAF further expanded its programmes in fragile and conflict-affected contexts, including its support to peace building efforts through inclusive dialogue on SSG/R and its work on the prevention of violent extremism. Particular attention was given to security needs and inclusion of women, youth, local communities and vulnerable groups.

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## Lebanon

This was a difficult year for Lebanon, not only because of the COVID-19 pandemic, but also because of the multiple overlapping political, economic, and financial crises faced by the country, including the devastating explosion in the harbour in Beirut. Nevertheless, DCAF strengthened its scope of intervention during the year with several SSG/R initiatives, focusing on support to formal oversight institutions and security forces with the aim of increasing compliance with international norms and standards. DCAF also emphasized support for accountability, transparency and respect for human rights and the rule of law. Several significant results were seen this year.

### Public relations of Internal Security Forces (ISF)

The Public Relations Department of the Lebanese ISF made a significant step forward in enhancing the transparency of its work through the **development of a communication strategy** with a detailed action plan which constitutes a **main result** of DCAF's work with the ISF this year. This was the first time ever that officers and staff of the department developed a clear outline of the vision and mission of the department and its important role, as well as priorities to strengthen the work of the department. In the past, the PR

The road map is an important step towards a more effective system to combat and prevent torture and ill-treatment of detainees.

department lacked any guiding documents or internal clarity on its own role and mandate. The staff now have clear strategic objectives and although the strategy is still awaiting formal approval, they have already started using it as a guide for their work.

### Forensic medicine

An **important result** in the area of using forensic medicine to prevent and combat torture in Lebanon is the **development of a road map to modernize the work of forensic medicine** in the country. This was the result of the first-ever convening of the Lebanese Forensic Medicine from the Ministry of Justice, Internal Security Forces, Parliament and Public Prosecutors Office. The road map was written and reviewed through a number of meetings held in 2020 at the office of the Parliamentary Committee on

Justice and Administration, with the support of DCAF. It clearly states the milestones and timeframes for each entity. It was informally endorsed by the heads of those present, and is expected to be formally endorsed soon. It

is an important step towards a more effective system to combat and prevent torture and ill-treatment of detainees. ■

## Occupied Palestinian Territories (OPT)

This year DCAF further consolidated its engagements in the OPT by reinforcing capacities of security providers and improving public oversight of security institutions. DCAF also adapted its response to emerging needs and priorities arising out of the COVID-19 crisis.

### Civilian oversight

DCAF has been assisting the security sector of the OPT since 2005, a long-term process complicated by a complex political environment and the lack of a functioning parliament. Against this backdrop, over the years several results have been achieved, such as strengthening a complaints system by the Council of Ministers (CoM). In 2020 new results have been achieved related to civilian oversight.

The **first result** refers to the **Seventh Annual Report on Complaints** prepared entirely by the Complaints Directorate of the Council of Ministers. It marks the second year that the Directorate has used the knowledge provided by DCAF in a sustainable and professional way. The first report on complaints was published in 2014, based on a methodology developed by DCAF and with DCAF's substantial help to collect and analyze the data and write the report. We continued our support over the next five editions, paying close attention to developing the capacity of the Complaints Directorate to take over full responsibility for preparation of the report. Over the years the report has become much more comprehensive, with an improved methodology for data collection, a trend that has continued since the Directorate took over full responsibility.

The *Seventh Annual Report on Complaints* covers 58 complaints departments and includes statistics and analysis of complaints received, rejected, and solved for 2019. The Report, for the first time, makes references to anti-corruption complaints as a separate category. This tangible result highlights the sustained nature of DCAF's capacity building activities with the Directorate.

### Constitutional Court and international law

The **second result** is related to the Constitutional Court and its **ability to refer to international legal standards**. DCAF contributed to an enhanced role of international norms in the work of the Court. DCAF organized training on this topic in October 2019 which led in 2020 to more frequent references to international standards.

Trainees indicated that they became more familiar with how to apply international agreements ratified by the Palestinian Authority when reviewing decisions related to human rights. More specifically, one of the participants attested to the fact that they had not made reference to international agreements before DCAF's training when assessing cases of human rights abuses, but after the training they started doing so and are now more aware about the importance of the agreements and better equipped to apply these norms in the appropriate cases.

For the first time the Report makes reference to anti-corruption complaints as a separate category.

### Improving community safety

In 2020 further improvements can be observed in the area of community safety in the OPT, in particular relating to the practice of evicting families from their homes where one or more of the family members have committed a serious crime. This third result was achieved at a DCAF-organized event with the Palestinian Civil Police and SHAMS, a local civil society group. The event aimed at enhancing capacities and strengthening the outreach of the community safety councils across the West Bank by increasing coordination between the police, community

safety councils, and the reconciliation/tribal leaders in solving community disputes. The objective of such coordination mechanism is to avoid instances where reconciliation leaders decide to evict whole families. This practice is against Palestinian law but happens because the police are not properly prepared for regular coordination with the tribal mediators in such matters.

In a striking development, the **following agreements** were achieved:

- a designated decision-making police officer at each station to respond to reconciliation leaders during community disputes;
- reconciliation leaders agreed to involve the community safety councils in the decision-making process during disputes; and
- reconciliation leaders agreed that the eviction of families and the reduction of sentences for honour killings are practices to be stopped immediately.

This is a valuable continuation of the result achieved in 2019, when DCAF contributed to a drastic reduction of such evictions in several Governorates in the West Bank.

### Regulation on receiving gifts and conflicts of interests

The **fourth result** concerned progress on a **new regulation concerning receiving gifts**

Reconciliation leaders agreed to involve the community safety councils in the decision-making process during disputes.

and conflicts of interest in partnership with the Palestinian Authority Security Forces (PASF). This was the result of a workshop on draft regulations that was conducted in partnership with the Palestinian Anti-Corruption Commission (PACC). In this way DCAF contributed to a new regulatory framework on this sensitive topic which was approved in 2020 by the President of the Palestinian Authority through a ‘law by decree’. The project aimed at assisting the PASF and executive authorities to create regulations that enhance transparency and accountability within their institutions, as well as taking measures against corruption. Another objective was to increase the knowledge of national actors on the importance of good governance within the security sector, and how to enhance anti-corruption measures.

To facilitate implementation of the regulations, in 2020 DCAF and PACC published two handbooks to be used in training throughout the PASF. ■

## Yemen

This relatively new “Building Peace through SSG/R” project supports Yemeni parties to the conflict to conduct inclusive dialogues on security concerns, arrangements, and solutions. The aim is to identify short term solutions within a shared understanding of longer term SSG/R needs and options. The series of inclusive dialogues is designed to support existing peacebuilding efforts and is fully coordinated with the Office of the United Nations Special Envoy to Yemen (OSESYG).

### Inclusive dialogue

The **first emerging result** is directly related to the **organization of inclusive dialogues**. More specifically, in March 2020, DCAF held a one-of-a-kind dialogue session on the role tribes could play in the implementation and oversight of ceasefire arrangements.

It included Yemeni sheikhs from across the country and with different political affiliations. In the Yemeni context, this event constituted a unique development, as bringing together the sheikhs from all different groups around one table is an achievement in itself. According to the OSESYG’s Senior Security Sector Reform Officer commented on the so-called “Sheikh dialogue” created an entry point for local civil society to play a role in the ceasefire implementation and monitoring mechanisms, including nascent oversight of security sector activities. The strong consensus of the dialogue participants around inclusion of influential social figures in the national and governorate level military and security committees provided another entry point

for including women in security governance structures. The last point is also interesting to emphasize, as it was the sheikhs themselves who stressed the importance of involving more women in ceasefire oversight structures.

### Security governance in the peace agreement

The **second emerging result** is related to the work on a peace agreement for Yemen,

where because of our direct input, **security governance acquired a more prominent role in the draft texts** than before. DCAF is engaged in the international multi-stakeholder processes led by the UN OSESGY in which we provide expertise that found its way into provisions in the peace agreement. Moreover, DCAF's technical inputs on SSG/R/G issues were reflected in the Joint Declaration that is currently being negotiated with the parties to the Yemeni conflict. ■

“ We need organizations like DCAF to support dialogue and debate among national stakeholders to encourage the development of creative options, and to inform those discussions with comparative experience from other contexts. ”

— Martin Griffiths, Special Envoy of the UN Secretary-General for Yemen

## Libya

This year DCAF built on previous achievements by strengthening the capacities of government ministries and supporting informal and independent oversight across several Libyan municipalities. Moreover, we supported informal oversight of the country's institutions by civil society organizations and the media.

### The Libya Legal Database

The Libyan legal framework suffers from extraordinary complexity, partly the result of a conscious strategy of the previous regime. Following the fall of Gaddafi, even state officials often did not know which laws were in place. To address this issue, DCAF developed the Libya Legal Database, an online searchable database of all legislation governing the Libyan security sector. It is freely accessible and contains draft and adopted legislation from Libyan independence in 1951 to the present day. At the end of 2020 around 1900 legal texts are in the database, which is widely used. What is even more important, the database is achieving interesting results which demonstrate its impact.

The **main result** this year is that an **increasing number of international and local actors are making use of the database**. Regular users include the European Union Delegation to Libya and the European Union Border Assistance Mission in Libya, who confirmed using the database for training

The Legal Database had over 160,000 visits – a 365% increase over the previous reporting year. More than 80% of the visits were from Libya, indicating that the database meets a strong local need.

purposes, as well as the International Court of Justice, which confirmed using the database as a primary source for its reports. Also, organizations such as the United States Institute for Peace confirmed using the database as a primary source for many of their research products as well as capacity building workshops on the rule of law for various Libyan ministries. Moreover, Libyan lawyers interviewed as part of an assessment of the project's utility for national actors, underlined that the database is a great resource for them – comprehensive, well-organized, and easily accessible, thus decreasing the amount of manual research previously required to find fundamental legal texts from the old regime. Between October 2019 and October 2020, the database had over 163,000 visits from

92,000 users – a 365.7% increase in audience compared to the previous reporting year. 83.2% of the visits came from Libya, indicating that the database meets a local

demand. Libya, followed by Egypt, Tunisia, the USA, and the UK were the top five visiting countries in 2020. ■



Police officer from the Ministry of the Interior of the Government of National Accord (GNA) photographed in Tripoli, Libya. Photo: Nada Harib for DCAF.

## Morocco

In Morocco, DCAF pursued its cooperation with oversight institutions with a focus on personal data protection and access to information. We maintained our engagement in the fight against torture and ill-treatment following the ratification by Morocco of the Optional Protocol to the Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (OPCAT). With the state of health emergency declared in the country since March 2020, DCAF adapted its operations to address some of the multiple effects of the COVID-19 health crisis and developed new initiatives accordingly.

### Personal data protection improved

DCAF was able to achieve a **remarkable result** relating to the COVID-19 pandemic. The Moroccan authorities planned to launch a national application for the identification of persons infected by the coronavirus and their contacts - a decision that raised serious concerns about privacy, transparency, and good governance as enshrined in

“ Our partnership with DCAF has helped us to be considered as leading experts in security sector governance amongst civil society organizations. Thanks to this credibility, we can develop new programmes and we hope to continue doing it with DCAF. ”

— **Habib Belkouch, President**  
Center for Law and Democracy Studies  
Morocco

the constitution. The policy was subject to scrutiny by the Commission Nationale de Protection des Données Personnelles (CNDP), Morocco’s independent data protection body.

DCAF contributed to the **consolidation of the CNDP’s legitimacy** by examining the strengths and challenges of alternative

tracking applications to curb the spread of COVID-19, assessing the level of data protection. The result of the analysis informed the CNDP's legal opinion on the national COVID-19 tracking application, named Wiqaytna, which thereupon was approved and successfully launched by the Moroccan Ministry of Health on June 1. As the application's source code has

been made publicly available online and features state-of-the-art privacy protection measures, Wiqaytna was downloaded by over two million users. The CNDP's approval proved effective in dispelling legitimate public concerns about Wiqaytna, which ranged from data leaks to infringements of the right to privacy. ■

## Tunisia

In 2020, DCAF continued to work with key ministries, the parliament, oversight institutions, and civil society to help implement security sector reforms.

### Youth and security

With around one third of Tunisians aged between 15 and 29, young people represent the largest and fastest growing segment of the population. However, many young Tunisians feel disillusioned and frustrated with the authorities, and do not trust them to protect them or act in their interest, thus perceiving security policy as not corresponding to the context and their security needs. Social and political marginalization is widespread and is likely to lead to low youth voter turnout, disengagement, and potentially even radicalization.

“ We strongly recommend a partnership with DCAF to benefit from the commitment and expertise of its staff, as well as its considerable contribution in the area of governance and prevention of corruption.”

— Slim Ben Jrad, Director General  
Governance and Prevention of Corruption  
Office of the Prime Minister, Tunisia

Several international organizations are working with Tunisian youth on preventing violent extremism. DCAF has chosen to take a comprehensive approach: while coordinating carefully with other stakeholders, DCAF seeks to engage youth in SSG/R considerations without starting from a narrow perspective that focuses on the prevention

of violent extremism.

The **main result** in this area is related to the work of youth protection delegates which have demonstrated an **increasing capacity to monitor juvenile detention and justice policies**. In 2020 these delegates, supported by DCAF, finalized their first-ever annual report that studies the situation of all five re-education centers for minors (boys and girls) in Tunisia. It was submitted to a mixed drafting committee including both the Ministry of Women and the Ministry of Justice, and factors in all measurement and follow-up indicators. This is an achievement in and of itself, as it provides recommendations on how to improve the security of minors in these facilities and alternatives to detention.

Another component of the programme has focused on strengthening the capacities of the Support Office for Juvenile Justice (BSJJ) to improve juvenile justice administration. Part of the process was the conduct of five missions to juvenile detention centers aimed at getting acquainted with the real situation in this area and improving the coordination between relevant actors involved, including the BSJJ, magistrates, youth protection delegates, and penitentiary officers. Four members of the BSJJ and 35 magistrates from six governorates participated in these missions. The plan is to institutionalize such joint visits in the framework of the strengthened cooperation mechanism among various child protection agencies, which constitutes in itself a major step forward in building a humane juvenile justice system in Tunisia. Following one of these visits, one judge took a concrete measure by releasing immediately one of the minors interviewed and requesting the reintegration into school of another one. A **second result** is the **unprecedented use of the victim-offender mediation mechanism**

by magistrates at the time of joint visits to youth detention centers, which considers alternatives to detention.

### Preventing corruption within the Ministry of Interior

The Tunisian Ministry of Interior (MoI) has made progress in preventing corruption within its ranks. Although it formally aimed at implementing the national anti-corruption strategy, at first progress was very slow due to a lack of resources. However, major changes have occurred in the past two years. The most visible token of this vigorous new policy could be noticed in 2019, when it concluded a partnership agreement with the Instance Nationale de Lutte Contre la Corruption (INLUCC), which is in charge of the implementation of the national strategy on good governance and fight against corruption.

The **first result** concerns a **cultural change within the Ministry** in its efforts to prevent and fight corruption. The Ministry's commitment became clear over the year, as two changes of government within six months could have caused delays. Nevertheless, the administration of the Ministry, led by the Director General of the Good Governance cell from the cabinet of the Minister, repeatedly reaffirmed the commitment to implement a strategy on good governance, with the support of DCAF. An action plan, elaborated with DCAF's support, which had been approved by the previous minister, has been

The new network of “integrity ambassadors” - senior officials from across the Ministry - will act as focal points for the implementation of an anti-corruption strategy.

submitted to the new, incoming ministers, and has relatively swiftly been reconfirmed.

The **second result** was revealed during a training about integrity and corruption risk assessment at the end of November, where the Director General of the Good Governance cell of the MoI proudly announced that the **use of “integrity ambassadors” found official confirmation** through an internal decree issued by the Minister. The network of integrity ambassadors - senior officials from across the Ministry - are mandated to act as focal points for the implementation of the programme within their own departments and directorates. They are also the core members (15-18) of the beneficiary group of the training cycle developed by DCAF and Ministry in the joint action plan. ■



A roundtable discussion with minors in a detention centre in Tunisia. Photo: Ministry of Justice

# Europe and Central Asia



DCAF facilitated regional security dialogue and provided support to SSG/R efforts of countries in South Eastern and Eastern Europe, South Caucasus, and Central Asia throughout 2020. Its activities were focused on assisting complex national SSG/R processes, ensuring that ownership of these processes remained in the hands of beneficiaries and partners.

DCAF's partners were focused on addressing regulatory shortcomings in the areas of rule of law and respect for human rights, enhancing oversight mechanisms to ensure that security actors are held accountable for all their actions, and on enhancing strategic capacities when it comes to formulating a reform agenda and responding to important security challenges.

DCAF sought to create spaces and networks to foster open dialogue at the regional and national levels, which would help build trust, improve coordination, and promote a common understanding of SSG/R norms and standards. DCAF continued to support a number of countries in the development of practical cooperation to tackle cyber threats, cross-border crime, terrorism and violent extremism, human trafficking, and irregular migration within a democratic governance framework. In some countries DCAF also supported them with aligning of their security systems to European Union norms and standards.

## Border Security Programme

DCAF's Border Security Programme supports the governments of Albania, Bosnia and Herzegovina, Moldova, Montenegro, North Macedonia, and Serbia to establish modern border security organisations. Countries receive comprehensive assistance, ranging from national capacity-building to the development of regional cooperation mechanisms and their practical use in the field. The Programme has been designed under the mandate of the various Ministers of Interior. Representatives of the border police and customs services of the beneficiary states meet every year to review progress and provide guidelines for further implementation. The DCAF Border Security Programme brings together ministers, chiefs of border police, border police officers, and experts allowing them to exchange good practices, identify regional needs, and build mutual trust.

Over the years this programme has been able to achieve major results which contributed to a more efficient and effective border management system in the Western Balkans. The countries also became increasingly open to further regional and international cooperation and take into account the good practices in this field.

The **main result** in 2020 is related to further regional cooperation in the **management of irregular migration**. Where DCAF has contributed substantially to more effective border management systems in the region, other international actors are now following in these footsteps. This was clearly reflected in the development of operational cooperation between Frontex and Albania (since May 2019) and Montenegro (since July 2020). Such cooperation is also anticipated for North Macedonia, Bosnia and Herze-

govina and Serbia. The DCAF-facilitated operations predated the Frontex activities, and Frontex representatives consulted with DCAF staff on how to practically implement such operations, so our impact on these developments is more indirect. However, our previous activities in the region and our advice to Frontex have made this development possible and more effective.

The **second result** has been achieved in coordination of risk analysis and **intelligence-led policing concerning cross-border crime**, in particular in Montenegro. This year Montenegro established a regional coordination centre which is a hub for information on the statistics of cross-border criminality and irregular migration.

The centre is still being developed, however it is functional and is responsible for risk analyses, which will provide better grounds for planning of operational activities.

It is one of the aims of the Border Security Programme to enhance the capacities in the field of risk analysis, and support the development of a common integrated risk analysis model that will allow for early identification of threats and better planning of activities and resources. On an informal level, the heads of stations and regional commanders in Montenegro have begun exchanging information daily. ■

## Police Cooperation Convention for Southeast Europe

The Police Cooperation Convention for Southeast Europe (PCC SEE) is a multilateral treaty ratified by the parliaments of six non-EU countries (Albania, Bosnia and Herzegovina, Moldova, Montenegro, North Macedonia, and Serbia) and six EU Member States (Austria, Bulgaria, Croatia, Hungary, Romania, and Slovenia). It serves as a legal basis for cross-border law enforcement cooperation modelled on EU good practices. DCAF supports the PCC SEE by providing administrative support and technical expertise and hosting the Secretariat at our office in Ljubljana.

The **main result** in this area in 2020 is related to the **deployment of criminal investigators** from non-EU country to EU countries. In 2019 a modest start was made with the very first of such deployments, but in 2020 it gained further momentum. Between January and March, before the outbreak of the pandemic, the Secretariat received five requests for support, three of which met the requirements for financial support. In all three cases, a non-EU country deployed criminal investigators to an EU country to work side-by-side with their domestic investigators. Montenegro supported Croatia with the deployment of four officers to facilitate intelligence gathering in the field of fugitive active search of internationally wanted criminals who committed serious crimes; North Macedonia deployed one officer to Bulgaria to facilitate

intelligence gathering in the field of illicit trafficking of firearms; North Macedonia also deployed one officer to Austria to assist in an interrogation of a suspect linked to the illicit trafficking of drugs. Requests for deployments are expected to pick-up once COVID-19 related travel restrictions and safety measures are lifted. ■

“ The deployment of criminal investigators from another country to your team brings a valuable asset because it helps to close gaps. The Criminal Police of Austria has already benefitted from the deployment of a colleague from North Macedonia, where his language skills and knowledge of a specific organized crime group significantly contributed to the results of the investigation.”

— **Friedrich Hofbauer**  
Austrian Police Attaché in the  
Republic of North Macedonia

## Western Balkans

### Cybersecurity in the West Balkans

DCAF continued with ongoing projects to assist our partners in the Western Balkans (WB) to enhance their cybersecurity governance. In the previous period results had been achieved in the form of a substantive modernization of the Serbian national Computer Emergency Response Team (SRB CERT) and Ministry of Interior CERT (MoI CERT), which became a model for the whole region. In 2020 DCAF contributed to a unique partnership between SRB CERT and the Serbian Ministry for Telecommunications, Transport and Tourism (MTTT) on awareness raising for the larger public, which was their first ever cooperation on this issue. This was an important **first result in further strengthening the provision of cybersecurity in Serbia.**

Where communication and cooperation hardly happened only a few years ago, now not only regular formal and informal communication takes place, but also operational cooperation.

Representatives of both institutions had taken part in DCAF training on the use of social media in cybersecurity awareness raising, and after the training the MTTT asked to cooperate with SRB CERT on the distribution of awareness raising materials produced as part of the same activity. This cooperation can also be considered as a positive result of a National Awareness Raising Round Table, organised in June 2019 with DCAF support, during which Serbian cybersecurity stakeholders recommended that the two Ministries would need to start cooperating to raise awareness about cybersecurity.

In addition the MTTT has used the advice from the training and handbook when planning and implementing 'Smart and Safe', an ongoing awareness raising campaign aimed at children and youth.

The **second result** in this area is related to the **substantial improvement in the capacity of the SRB CERTs** to detect and prevent malicious attacks on networks within their domain of responsibility. This improved capacity was recognized when the MoI

CERT and the national SRB CERT became members of the Forum of Incident Response and Security Teams (FIRST), the leading international association of CERTs. In early 2020, after DCAF had facilitated their contact with FIRST, their improved capacities (partly thanks to DCAF's training) qualified them for membership. This shows that the Serbian CERTs, which are active in highly critical areas of security, have achieved major progress in their levels of capacity. Members of the Albanian CERT were invited to join FIRST as fellows.

The **third result** is related to the **strongly increased communication and operational cooperation** among the national CERTs in the Western Balkans. When DCAF started the implementation of the project, these agencies were still weak in handling incidents and cooperated only rarely. Thanks to the various trainings, workshops, conferences, and joint drills, the staff of these CERTs not only increased their knowledge and skills, but also fostered a close community of trust. They have started to communicate regularly, exchanging advice, expertise, and information on threats. In 2020 they also began cooperating together on incidents. The project therefore facilitated an impressive change in this area: where communication and cooperation hardly took place only a few years ago, now not only regular formal and informal communication happens, but also operational cooperation which is clearly the result of trust established during the various joint activities organized by DCAF.

An example of operational cooperation took place in spring 2020 when the CERTs were involved in regular exchange of information during the early stages of the COVID-19 crisis. The Slovenian and Serbian national CERTs (together with their counterparts in Croatia and North Macedonia) cooperated on investigating a COVID-related phishing attack. The CERT members involved said that the good personal relations developed in the past years made cooperation easier. Moreover, in May and June, the Albanian national CERT received support from the national CERT from North Macedonia in preparing a national Cyber Academy.

In autumn 2020, several CERTs from the Western Balkans, and the Slovenian national CERT, cooperated in responding to an attack on a chain of banks operating in several countries in the region.

The **fourth result** is the **strengthening of the role of the Petnica group** in Serbia. The Petnica group aims at developing public-private partnership among the key stakeholders on cybersecurity in the country by providing a platform for the exchange of information, knowledge, and experience. DCAF has contributed to the strengthening of the group through expert advice and workshops, which in 2020 resulted in the decision to transform the informal group into a foundation: the Cybersecurity Network.

### Police Cooperation and Integrity Building Programme

The objectives of this programme are to enhance regional cooperation and strengthen good governance and rule of law, and build the capacity of law enforcement agencies to combat national and transnational organized crime and corruption in the Western Balkans. PCIB targets countries that aspire to become members of the EU or NATO and aims to harmonise regional law enforcement standards with the EU acquis and best practices. The goal is to enhance the security of the WB countries and their people within a framework of democratic governance, rule of law, and respect for human rights, as well as assist in the fulfilment of EU membership conditions.

The **first result** in 2020 was the formal approval of the **Integrity Plan for the Albanian State Police (ASP)**. After an intensive process of preparation, supported by DCAF and PAMECA V<sup>1</sup>, the Minister of

<sup>1</sup> Pameca V is an EU funded technical assistance project, which through its expertise drawn from EU Member States assists key Albanian law enforcement agencies to bring the performance, in particular, of the Ministry of Interior, ASP and General Prosecution Office closer to EU standards.

Interior approved the ASP's first ever Integrity Plan and ordered its implementation. Examples of DCAF's recommendations to ASP which have been incorporated into the Integrity Plan include the addition of a section on whistle-blowing and protection of whistle-blowers, and an action plan structure that includes references to risk behaviors and future planning. This collaboration aligned the ASP Integrity Plan more closely with European good practice and built the capacity of individuals in integrity planning and management.

The **second result** is related to the **exchange of experience from experts from regional partners to the ASP**, enabled by PCIB, which ultimately informed several aspects of the drafting process of the ASP Integrity Plan. In this case a member of the Kosovo<sup>2</sup> Police who had been engaged in the same drafting process within his own country. One of the specific aspects of Kosovar advice and best practice that was adopted was a focus on preventative measures rather than punitive ones. This process in which the Albanian plan adopted best practices from the Kosovar experience established a foundation for regional standards to form around integrity planning and management. It is expected that these regional knowledge-sharing and twinning processes that begin in the context of PCIB will develop independently and grow into sustainable forms of regional cooperation. ■

<sup>2</sup> The Kosovo Assembly declared the territory's independence on 17 February 2008. While 34 member states of the DCAF Foundation recognized the independence of Kosovo as of the date of publication of this report, 24 member states did not do so, and continue to refer to Kosovo in the framework of the UN Security Council Resolution 1244.

## Moldova

### Police Integrity Building Program

The PIBP is an ongoing, longer-term programme that assists countries to promote integrity within their police services. It takes a two-pronged approach: first, raising awareness through public debates on police integrity; and second, developing tailor-made initiatives for integrity capacity building. In the past few years, this programme has been very active in Moldova where several results have been achieved.

Although the programme officially concluded in 2019, we saw further results in 2020 that appear to be a direct effect of the support received during the programme.

The **first result** that deserves recognition, therefore, is a further **increase in the training capacity** of Moldova's law enforcement institutions in integrity and gender. This capacity building began in the previous years with DCAF's support, in the form of training courses and curriculum

development. The programme achieved its own momentum and is now part of the regular functioning of the respective training institutions. Newly added staff further enhanced this training capacity. Local ownership is clear, for instance, from the fact that all these new training courses are highlighted on their websites.

The increase in reported corruption cases reflects a shift in attitude as staff started taking a more active stance against corruption.

A **second result** is related to a further **increase in the number of prosecuted corruption cases**. As a result of the sustained delivery of integrity and gender trainings by the Moldovan Police Services, awareness

of the issues of integrity have increased, as evidenced by the number of criminal cases related to corruption that were filed with the Moldovan Ministry of Interior. According to statistical data gathered by the Ministry, active corruption cases increased from 28 in 2017 to 108 in 2019 - a 385% increase. The reported active corruption cases filed during 2020 (as of June) numbered 60. A projection based on this mid-year figure indicates a continued upward trend of reporting. This positive trend would suggest that the enhanced skills of the Ministry of Interior in Moldova have been applied in order to conduct trainings that, in turn, contribute significantly to an increase in the number of corruption cases reported by law enforcement officers. The increase in reported corruption cases also reflects an ongoing shift in attitude within the organizational culture as staff started taking a more active stance against corruption. ■

## Bosnia and Herzegovina

### Enhanced judicial supervision of intrusive investigation measures

To have criminal investigations conducted with minimum standards of human rights and fundamental freedoms and according to rule of law requires a professional and well-trained judicial system. This is even more important when intrusive methods for information collection are used and the courts are the main guarantee that investigation procedures are followed in accordance with the law. The situation in this area in Bosnia and Herzegovina (BiH) is complicated by a multi-layered complex judicial system, and also because important provisions of legislation regulating the judicial authorization of such intrusive methods were declared unconstitutional in 2017 and the legislature didn't succeed in filling this gap for a long time.

All this resulted in a state of confusion and uneven judicial practice, characterized by different, sometimes conflicting, perceptions of the legality, effectiveness, and opportunity in using intrusive measures to collect information.

“ Drafting the Benchbook helped me to resolve some of my dilemmas regarding implementation of special investigative measures. It brought me more professional confidence when I have to deal with cases which these measures are part of.”

— Judge, Bosnia and Herzegovina

DCAF's work in this area has produced a **major result** through the emergence of a **more robust and consistent judicial supervision of the use of special investigation methods** (SIM) which became

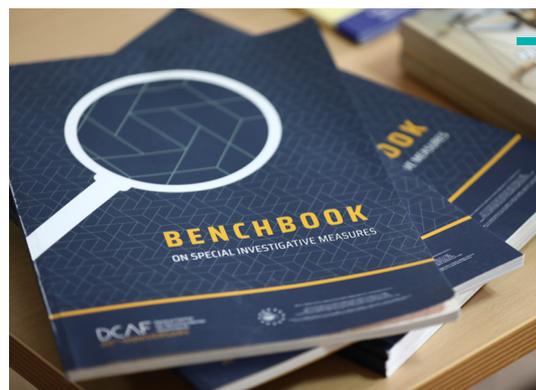


Photo: DCAF.

apparent in 2020 with the launch of a judicial benchbook. It was drafted by a working group of 22 practitioners from different branches of the judicial system, with external expertise and logistical support from DCAF. The benchbook is a guide for practitioners involved in SIM requests, authorizations, and reviews and its development through a long participatory, locally-owned process has already increased the consistency of judicial practice across

the country and improved alignment to international standards.

The highly participatory approach in drafting the benchbook was a testimony to the co-ownership of the product by the judicial community. The production of this guide by local practitioners has clearly contributed to increasing confidence and expertise in reviewing complex and sensitive requests on special investigation methods by local courts. ■

## Republic of North Macedonia

### Reform of the Intelligence Sector

In 2015 a wire-tapping scandal exposed widespread misconduct by intelligence services and law enforcement bodies in North Macedonia and resulted in a political effort to rigorously improve the weak legal framework. The following year the government requested DCAF's help to facilitate a locally-owned process of developing an intelligence sector gap analysis, together with local experts.

The Intelligence Sector Reform Programme made a substantial contribution to the introduction of urgently needed accountability mechanisms. This is also important because greater accountability in the security and justice sector are key conditions for NATO and EU membership negotiations.

The **first result** concerns the **adoption of several new and significant intelligence laws**, some of which DCAF contributed to directly through expert reviews and recommendations requested by both Parliament and Government. They ultimately led to the creation of the Operational Technical Agency, which is designed as a safeguard mechanism between law enforcement and intelligence services on the one side, and mobile telecom operators on the other. It further led to the creation of a Council for Civilian Supervision of the use of interception of communications - an independent expert body - and a new, independent, and de-politicised National Security Agency.

An increased awareness of the need for more accountability within the security and intelligence sector has led to a **second result**

of **control and oversight activities**, which are now taking place more frequently and are gradually becoming more effective and meaningful. Draft intelligence legislation undergoes more genuine committee review in Parliament, where intelligence directors are now called for questioning - a visible break from the recent past.

“ This project practically laid the foundations for major reforms that followed.”

— Slavjanka Petrovska  
Member of Parliament,  
former Chief of Cabinet in the  
Ministry of Interior, North Macedonia

A **third result** is the **creation of a benchbook on judicial standards** which must be applied in the process of authorizing communications interception. The result is that public prosecutors and judges now have common standards and are increasingly enforcing them. In order to ensure sustainability of this very locally-owned and produced benchbook, a new training curriculum on authorizing communications interception has been introduced at the Academy for Judges and Prosecutors. The judicial practitioners who co-authored the benchbook are, through train-the-trainer courses, ensuring that these new judicial standards become accepted throughout the judiciary. ■

## Ukraine

### Legislation on the Security Sector

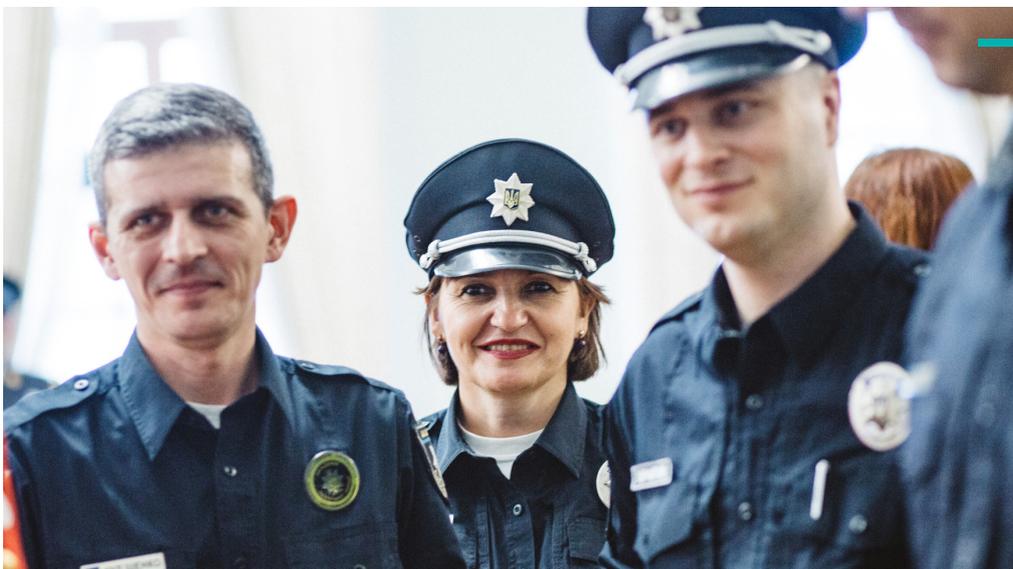
Although the political landscape in Ukraine remains unpredictable, the political elite continues to express a commitment to promote reform of the security sector in line with international norms and standards. In order to achieve reform, important problems that must be addressed are the limited capacity of newly-elected parliamentarians, opposing mindsets within security agencies, underdeveloped oversight mechanisms, and a very limited role for civil society. Although progress takes time, the year 2020 has seen new milestones.

The **main result** this year concerns the **adoption of the Law on Intelligence in Ukraine** by the Verkhovna Rada in September 2020. The adopted law has been substantively improved regarding its parliamentary oversight provisions in comparison with previous drafts of the law. These improvements are fully in line with several of DCAF's recommendations. The law now provides for specific articles regarding the oversight by the president, parliamentary oversight, judicial and public control, and internal control. Some recommendations were further implemented to clarify the oversight scope and the authority of the parliamentary oversight committee, particularly regarding the vetting procedure for the members of the committee. Furthermore, also in line with DCAF recommendations as developed at a strategic consultation, the MPs will

be able to challenge the results of denial of security clearance, which enhances the independence and oversight capabilities of the committee.

### Addressing domestic violence and violence against women

DCAF's support for the criminal justice system in Ukraine in partnership with La Strada-Ukraine to address domestic violence and violence against women has resulted in an interesting result in 2020. This **result** is related to the **first judgment of the European Court for Human Rights (ECHR) to address domestic violence in Ukraine: Case of Levchuk v. Ukraine**. In this judgment the Court referred to the findings of the 2017 DCAF/LSU baseline assessment report, *Assessment of the Readiness of the Ukraine Criminal Justice Sector to Implement the Principles of the Istanbul Convention*. The Court also referenced texts from the Organization for Security and Co-operation in Europe (OSCE) and the Committee on the Elimination of Discrimination against Women (CEDAW). This was the first judgment on domestic violence in Ukraine, in which the State was found to have failed in its obligation under the European Convention of Human Rights to ensure effective protection from domestic violence. The fact that the Court referred to findings from the DCAF/LSU assessment report demonstrated the international judicial recognition of DCAF's work in this area. ■



In the Ukraine, DCAF and La Strada-Ukraine are working with national institutions to implement new legislation that combats domestic violence and addresses crimes of sexual violence within the framework of Ukraine's Justice Sector Reform Strategy. Photo: DCAF.

# Asia-Pacific



Although DCAF is active in quite a few countries in the region, its priorities in 2020 were:

- MYPOL, the EU-funded police reform programme in Myanmar, in which DCAF is responsible for the components on legislative reform and parliamentary oversight;
- A training programme for parties directly connected to the Myanmar peace process, including the military;
- A network of partner institutions and experts in South, Southeast, and East Asia that promotes good security sector governance in the region.

While the COVID-19 pandemic brought work with the Myanmar Police Force to a standstill, activities with the Parliament were able to continue remotely.

Results in 2020 can be observed in the long-term project on promoting good security sector governance in the Asia-Pacific region. This is an unparalleled network of partner institutions from 21 countries that aimed to improve the capacity of partner institutions and national security sector institutions through exchange and the sharing of experiences. This is done via national SSG/R working groups which have been established by the partner institutions and DCAF, and the development of SSG/R activities based on joint assessments of the reform and governance needs in these countries. Since expertise on SSG/R in many countries in the region is weak or lacking and cooperation on this sensitive issue was almost absent in the past, this project is addressing a clear need.

In 2019 the creation of the regional network was reported as a positive result of our engagement in this region. This year a further **result** can be observed in the **establishment of national working groups on SSG/R** in almost all the countries in the network. These working groups bring together representatives from the security sector with experts from academia and civil society, creating an unprecedented channel

“ DCAF succeeded not only in making SSR part of the national discourse and policy, but it has captured the confidence of the major security sector institutions in the ASEAN region.”

— Professor Mario J. Aguja  
Mindanao State University, Philippines

for communication aimed at influencing decision-makers. During these meetings the state of the security sector is discussed from the perspective of SSG/R principles and the main challenges and opportunities identified. The national working group in Nepal, for example, has already developed a strong national network on SSG/R issues which has become highly visible both within the security sector and in the civil society. A similar process has taken place in Mongolia. The regional network contributed to the drafting of the DCAF report, *Security Sector Responses to COVID-19 in the Asia-Pacific Region: Reflections on an Ongoing Health Crisis*. In Taiwan, DCAF's partner used the key findings of the report as part of a formal course at Taiwan's National Defence University. ■

# Latin America and the Caribbean



Latin America and the Caribbean is a region with very high violence rates and insecurity. The COVID-19 pandemic brought additional challenges, particularly in terms of security and public order as governments struggled to contain the spread of the virus.

DCAF's activities in this region have a focus on strengthening citizen security and helping to enhance and adapt security sector actors' capabilities to manage emerging challenges, including use of force, crowd control, enhancing citizen confidence in security actors, and gender issues. DCAF takes a comprehensive approach in the region, involving government agencies, parliaments, and civil society and seeking to improve cooperation among these national actors and across international borders. South-South cooperation has been promoted through the exchange of experiences.

## Honduras

The Honduran National Police (HNP) started an ambitious reform process in 2012 to become a more efficient and effective police agency. DCAF has been engaged in Honduras since 2013. As of September 2018, DCAF has been supporting the police reform process at both national and institutional levels through its multi-year Police Advisory Programme, which is part of the Citizen Security Programme of the Swiss Agency for Development and Cooperation (SDC). DCAF aims to support the HNP in the areas of strategic and operational management, community policing, police education and accountability, use of force, and mentoring/coaching.

### Police and COVID-19

In 2020 several results can be observed. **One of the more striking results** is directly related to the COVID-19 crisis which created huge challenges for the Honduran police. From the beginning of the crisis it became clear that the stress placed on families was leading to a rise in gender-based violence (GBV). DCAF, together with the SDC, developed recommendations for the HNP to help it improve its response to this issue. These included strategic and operational

responses to better manage the impact of the pandemic and the public health crisis conditions on gender-based violence. Some recommendations were put into practice by the HNP; for example **instructions were sent to each Director and Commander ordering them to prioritize reports of gender-based violence**, especially in cases of domestic violence.

The HNP also gave concrete follow-up to another recommendation by **launching an advocacy and awareness campaign aimed at supporting victims of GBV** with access to health and justice services, and shelters. Through a more intensive and effective coordination among the various agencies involved this substantially contributed to more effective work by the Honduran police which can be seen as an important **second result** of these DCAF interventions. The project also enabled the police to better protect themselves in rendering services to the public. In this way the Honduran police could better protect themselves against the virus threat which is an indispensable condition for the police to provide effective services to the people. ■

### External oversight of police

The **third result** can be noted in relation to the functioning of the Directorate for Police Disciplinary Affairs, the recently established external police supervisory body. The main result in this area is related to the extensive diagnostic which DCAF conducted in 2019 about the functioning of the agency and which was fully endorsed by the Director. To a great extent this became the ‘roadmap’ for the future functioning of the agency, which has taken major steps to implement several of the recommendations. A concrete result of this work in 2020 is the **adoption of a strategic communications plan that articulates the Directorate’s role in increasing public confidence**. Validated by the Director, the plan will improve understanding of the role and limitations of the organization, both internally and externally.

### Mentoring police officers

The **fourth result** addresses a problem which exists in police agencies in many countries around the world: once newly graduated students from police academies start work they are without proper coaching by more experienced officers. One officer in the Honduras National Police was charged with developing a mentoring project, but no official post or unit existed within the institution. DCAF contributed to a major change in this area that resulted in the **official establishment of a new mentoring unit** along with a new post of Head of Mentoring Unit to develop and coordinate a mentoring project that will lead to more effective coaching of junior police officers. The new unit started with 25 mentors who will each coach five junior officers. It is expected that this approach will be cascaded further within the police agency if the unit is able to deliver successful results. The unit benefits from dedicated partner budgets aligned to support the delivery of the project. ■

## Colombia

In 2020 DCAF continued its work on several projects in Colombia that aimed at improving oversight of the security sector, building further capacity among women’s groups to cope with security issues in conflict-affected areas, and supporting a more gender-sensitive police force. DCAF’s support is provided within the context of a modernization programme that was initiated by the Colombian National Police (CNP) a few years ago as part of its Peacebuilding Model of the National Police of Colombia.

### Dialogue for women on security needs

In 2020 DCAF, along with our local partner Corporación de Investigación y Acción Social y Económica, continued working with women’s groups in rural areas where demobilised members of the armed group Revolutionary Armed Forces of Colombia—People’s Army (FARC) are being reintegrated into society. The project aims to improve safety conditions for women in these areas by making their voices heard. In the past few years DCAF achieved some important results reflected in the greater capacity of women to express their safety needs, and in

more effective relations with the local police. The year 2020 demonstrates a continuation of this successful work.

The **first result** is related to the ongoing COVID-19 pandemic, which had a serious impact on women in former conflict zones in Colombia. Thanks to the existing networks among indigenous and Afro-descendant women, which were a result of DCAF activities in previous years, the **women demonstrated impressive skills to help each other cope** with the negative consequences of the pandemic. WhatsApp groups allowed them to remain in close contact through lockdowns, and to help each other overcome serious problems such as gender-based

“ As a result of the work and actions developed with DCAF, our Police and UNIPEP have become a reference of an international and inter-institutional nature, especially in Latin American countries.”

— Lieutenant Colonel Lurangeli Franco Rodríguez, UNIPEP, Colombia

This new level of capacity in gender issues was on display during the COVID-19 pandemic, when UNIPEP initiated several activities aimed at reaching out to women in the former conflict areas.

violence. Thanks to the greater capacity to express their needs and concerns, and their improved relations with local security agencies, they were better able to cope with the challenges posed by the pandemic. For example, in August and September rural women took part in five virtual meetings where they shared information on study and project opportunities, action in natural disasters, access to humanitarian aid, and advice on security issues. Emotion and grief management tools shared during the workshops in previous DCAF activities that helped women deal with the lasting trauma of violence, were once again put to use in the trying to manage the impact of COVID-19.

### **The police reach out to women in the pandemic**

The **second result** is related to the functioning of UNIPEP, the unit in charge of peacebuilding and gender mainstreaming within the Colombian national police force. The results of previous DCAF trainings bore fruit in 2020, when the unit became a 'laboratory' of good practices for building peace and guaranteeing security from a gender perspective. This new level of capability was on display during the COVID-19 pandemic, when UNIPEP **initiated a number of activities aimed at reaching out to women** in the former conflict areas.

As an example, it launched a communications campaign to address discrimination against LGBTI people. Police officers were able to be more effective in their work in these sensitive areas thanks to the increased public confidence that stemmed from their more inclusive and community-oriented policing practices, to which the previous DCAF training also contributed. This really paid off during the pandemic, when the relations between police and local women's groups became more intensive and fruitful.

DCAF contributed to these initiatives with

recommendations on how the police should handle cases of gender-based violence during the public health crisis. In this way DCAF made a contribution to assisting the police both in Honduras and Colombia to better handle the unparalleled crisis caused by COVID-19.

The successful work by UNIPEP was also reflected in the fact that Lt. Colonel Lurangeli Franco, a member of UNIPEP's leadership, was recognized for leading the unit's work on gender mainstreaming and conflict transformation in former conflict areas.

### **Successful gender self-assessment leads to an action plan**

The **third result** was a **more gender-responsive police force in Colombia**. DCAF actively supported the gender unit of the Colombian National Police to conduct a gender self-assessment. The survey, which was sent to almost all police personnel nationwide, had a 92% response rate. The results of the self-assessment were endorsed by senior leadership and initiated the development of both an institutional implementation plan, called the Special Gender Working Plan, and an associated monitoring and evaluation framework to assess the implementation of the Plan from 2021 - 2027.

The CNP also **established a new Gender Working Group** in the Office of the Inspectorate General. This is an important step as this Office is part of the command and leadership level and directly reports to the Director General. This sends a strong signal to the force that gender inclusiveness is a top priority.

It is also worth mentioning that the Inspectorate-General of the CNP has given a formal instruction to publish an executive summary and recommendations of the gender self-assessment, which is another sign that the CNP clearly owns this process.

It should also be noted that the gender self-assessment in the national police force is becoming a kind of pilot within the Colombian security sector. This became clear when the Office of the Vice-President of Colombia praised the results of the assessment process, the first time that an evaluation of this kind has been conducted in the security sector. The Vice-President's Office is developing the UNSCR 1325 National Action Plan for the country and

it indicated its intention to include the recommendations of the DCAF gender self-assessment in the action plan. This would lead to another important result of this DCAF project in the next reporting period, and might have a knock-on effect with other security agencies in the country.

**Private security and human rights in Latin America**

DCAF continued to work with national human rights institutions (NHRIs) in Latin America on business security and human rights. Through new partnerships, DCAF extended the network to 17 from 11 NHRIs in the region, adding Chile, Haiti, Honduras, Nicaragua, Paraguay and Venezuela.

This project has achieved a modest **result** through the **revision of the monitoring system of the Peruvian NHRI**, which incorporated specific indicators measuring the impact of private security on human rights. This is an important development to serve as a model for other NHRIs in Latin America overseeing public institutions and public security forces. With the support of DCAF, the NHRI developed a specific performance indicator to monitor the

The results of the gender self-assessment were endorsed by senior leadership and initiated the development of both an institution-wide Special Gender Working Plan, and a monitoring and evaluation framework to assess the implementation of the Plan over the next six years.

human rights impact of private security companies in social conflict. The indicator is composed of three variables: impact on human rights, use of force, and compliance with the national regulatory framework. This allows the institution to evaluate the impact and gravity of incidents. DCAF supported the partner in the process by reviewing the indicators and ensuring it is in line with international and regional good practices. The new system in place will improve transparency and help reduce the number of incidents. ■



Lt. Col Lurangeli Franco Rodríguez (right) was recognized for leading UNICEP's work on gender mainstreaming and conflict transformation in former conflict areas of Colombia. Photo: National Police of Colombia.

# Assisting International Partners



In addition to providing direct support to countries undertaking their own SSG/R reform processes, DCAF cooperates closely with international partners to enhance their effectiveness as donors and partners in security sector reforms. In this context, our support has focused particularly on the work of the United Nations and other international, regional, and sub-regional organizations, as well as on other formal and informal multilateral governance arrangements at the regional and global levels. In 2020, DCAF continued to provide extensive support to bilateral and multilateral partners through the International Security Sector Advisory Team, the Policy and Research Division, and increasingly through our operational divisions as well.

# Bilateral Donors



With its mandate to support the SSG/R capacity of the international community in the provision of coherent and effective support to national SSG/R processes, DCAF's undertook a series of activities in support of the Governing Board Members (GBMs)<sup>1</sup> of the International Security Sector Advisory Team. Primary beneficiaries of this support included bilateral donors and multilateral, regional and sub-regional organizations such as the United Nations, the African Union, and the European Union.

The support focused on four primary areas:

- **Advisory field support** - inform decision-making on security and justice assistance through scoping-studies, assessments, programme design, monitoring and evaluation, lessons identification, and short-term backstopping;
- **Professional development and training** - enhance GBMs' capacities to deploy strategic security and justice advisors;
- **Outreach and Knowledge services** - Documenting and disseminating lessons learned and mapping emerging good practice to drive innovation in SSG/R;
- **Strategic support to GBMs** - Support to GBM strategy and process development, facilitation of coordination, convening around common areas of interest for GBMs.

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<sup>1</sup> ISSAT's Governing Board comprises its 16 donor countries (Austria, Belgium, Canada, Denmark, Estonia, Finland, France, Germany, Ireland, the Netherlands, Norway, Slovakia, Sweden, Switzerland, the United Kingdom, and the United States) as well as seven multilateral institutions (the AU, the EU, OIF, OECD, the OSCE, the UN, and the World Bank).

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## Support to Norway: rule of law advisors project in Ukraine

DCAF's review of the Norwegian Government's support for judicial sector reform in Ukraine, particularly around alternative sentencing, has resulted in some interesting **results**. Several **recommendations have already been adopted or are planned for implementation** in the near future. The Directorate of the Norwegian Correctional Service, which is responsible for the implementation of the project, has been following various recommendations in its planning of the project in the next few years. This relates, for instance, to the number of planned results and activities which have been drastically

reduced. Similarly, the project has **reviewed its approach to training and allocation of resources**. Rather than providing training to a wide range of probation officers as was previously done, a more focused and targeted approach is currently under development through a training-the-trainers initiative with Ukrainian partners and other international projects that train probation staff. ■

## Support to Sweden: juvenile justice in Albania

A baseline study of Albania’s juvenile justice system which DCAF developed at the request of the Swedish government in 2017 has achieved interesting **results**, in particular concerning the implementation of a substantial project on enhanced capacity of Albanian law enforcement agencies and courts to meet human rights standards in juvenile justice. The project was implemented jointly by Swedish state agencies and funded by the Swedish government. DCAF’s impact became visible in the monitoring plan of the project. DCAF’s baseline analysis also strengthened the rationale of the existing goal of enhancing gender equality aspects of the programme. **Gender dimensions were**

**subsequently spelled out more clearly and substantially**, including in the updated programme document of October 2020. The project tried to further incorporate gender in the work of each Albanian agency in order to respond to specific needs of boys and girls in the juvenile justice system, but also in project activities to enable both women and men to benefit from the programme and express their views and opinions. These activities have contributed to **stronger gender considerations within Albanian partner institutions**. ■

“ DCAF’s contribution in helping us to develop a viable and useful cooperation in the field of rule of law and security has been very concrete, hands-on, and valuable. ”

— Linda Gjermani, Programme Officer  
Embassy of Sweden in Albania



Joakim Baltzarsson, Chief of the Swedish police's foreign section at the launch of the justice-chain project seeking to improve juvenile justice as part of the reform process in Albania. Photo: Embassy of Sweden in Tirana.

# Multilateral Organizations



In 2020 DCAF continued its intensive cooperation with multilateral organizations that play a key role in security sector reform and governance, both globally and regionally. Although its Policy and Research Department and ISSAT play a leading role in this area, the operational divisions are also increasingly involved. The efforts to promote cooperation and coordination among the various international organizations on SSG/R achieved further results this year, which shows that such partnership is becoming a common approach in some regions. In 2020 this was visible particularly between the UN, EU and OSCE. DCAF's long-term engagement with the EU on monitoring and evaluation activities also led to a few clear results.

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## UN-EU-OSCE: improving coordination and cooperation

In previous Performance Reports reference was made to the UN Mapping Study which was launched in 2018 to map the normative and operational approaches to SSG/R of the United Nations, the European Union, the African Union, and the Organization for Security and Co-operation in Europe (OSCE). In 2019 progress was reported in joint assessment actions by the EU, OSCE and UN, in particular the preparations for missions in Central Asia. This would imply a major development in harmonizing the approaches by the organizations in the very first stages of their SSG/R activities.

In 2020, with the COVID-19 crisis and its consequences for the work of multilateral organisations, the joint assessments planned in Central Asia were put on hold. Nevertheless, an important **result** was achieved, as the EU decided to go ahead and unilaterally carry a first desk-based mapping exercise on Kyrgyzstan and invited the UN and the OSCE to review the report of this work. In the absence of a full-fledged joint assessment mission, this reflects the implementation of a recommendation in the mapping study which was that multilateral organisations should share the findings of their individual assessments with other multilateral actors in order to minimise the duplication of assessment activities and to alleviate the

burden on national actors who are often requested to respond to multiple requests from international organizations. This suggests that the mapping study has contributed to a **cultural shift in the sharing of information** among these organizations, even in cases where joint evaluations are not feasible.

The mapping study has contributed to a cultural shift in the sharing of information among these multilateral organizations.

Additionally, in 2020 the EU and the OSCE started discussing opportunities for joint needs assessments covering SSG/R beyond the Central Asia region, including in Bosnia and Herzegovina. It would therefore appear that some of the multilateral organizations engaged in the mapping study have incorporated the need for joint assessments as part of their approach, which is another important result of the mapping study. ■

## OSCE: further development of SSG/R process

Since DCAF assisted the OSCE in developing the mapping study on SSG/R in 2013, the organization has become very successful in developing its own approach towards SSG/R in its participating States and within the region as a whole. This progress has been achieved despite the ongoing problem of the lack of a consensus on a definition of the concept within the organization. This lack of consensus was not solved in 2019, when Slovakia, as Chair-in-Office of the organization, made SSG/R one of its top priorities. Nevertheless, the organization continued its intensive work on SSG/R also in 2020 under the Albanian Chairmanship, including its implementation of the internal Guidelines on SSG/R for OSCE Staff. These Guidelines, which were produced in 2016 with the help of DCAF, have been a major tool for the implementation of the concept and principles of SSG/R within all executive structures of the organization, while at the same time adapting the concept to the specific requirements of the OSCE.

The **main result** this year was the OSCE's decision to **update and revise the guidelines**. This was also the result of the annual review of the OSCE Guidelines supported by DCAF in collaboration with OSCE focal points on SSG/R. DCAF has been requested to assist in the revision of the guidelines through a highly participatory approach in partnership with OSCE staff. Moreover, the OSCE has also decided to develop a new chapter on cross-dimensional approaches to integrity-building in the security sector, as it was felt that these approaches would be particularly relevant in this area. In this context it is interesting to note that in DCAF's OSCE mapping study of 2013, anti-corruption efforts in the security sector were identified as a key area that often falls through the cracks. This is partly due to the internal structure of the OSCE. The Economic and Environmental Dimension deals with anti-corruption issues, and does not necessarily engage on integrity building

in the security sector. The Political-Military Dimension, on the other hand, primarily deals with the security sector and would not often engage in anti-corruption. The second edition of the Guidelines is expected to be completed in the middle of 2021 and will help identify opportunities for cross-dimensional approaches to integrity-building. This reflects that there is an **increased acceptance among some OSCE staff that SSG/R is cross-dimensional in nature and requires a new level of coordination**.

There is an increasing acceptance of the importance of the SSG/R agenda among senior managers.

One of the main issues identified during annual review sessions with the OSCE focal points was the limited support for SSG/R work by some members of senior management. In 2020, there were only two focal points who considered the lack of support among senior managers to be a major challenge in implementing a coherent and coordinated approach to SSG/R. Thus, the perception of increasing acceptance of the SSG/R agenda may be considered to be the second result. This underlines the progress made since 2018, when five focal points raised the lack of support as a major issue. According to the OSCE focal points for SSG/R, this progress has been achieved thanks to the briefing note for senior management developed by DCAF in 2017, but also thanks to the efforts made by the 2019 Slovak Chairmanship to place SSG/R high on the organization's agenda, an effort which DCAF also supported. ■

## EU - security and justice assessments in the Sahel

DCAF has been involved in many different assessments of security and justice programmes for various international organizations. A positive **result** could be noticed, for instance, in the impact of DCAF's work at the request of the EU Emergency Trust Fund for Africa. In 2017-2018 DCAF developed a new methodology and innovative tools, namely "Socles de référence et Grilles d'analyse" to carry out security and justice assessments. These tools have been successfully tested through the implementation of assessments in Niger, Burkina Faso, and Chad.

In line with findings and recommendations put forward by DCAF in the assessment reports, the EU Trust Fund has designed and funded new projects. One of the main recommendations across the three countries' assessments was the need to improve the link between the internal security forces and

the population in the Sahel. This contributed to the development of a new EU project of €20m dedicated to addressing this gap in the five G5 Sahel countries (Burkina Faso, Chad, Mali, Mauritania, and Niger). In a recent evaluation carried out by the EU in Niger to determine the extent to which the EU SSG/R principles from the 2016 Policy Framework were used, the evaluators considered DCAF's security and justice assessment of Niger as a best practice that could be reproduced in other countries where the EU has substantial involvement in supporting the security sector. Hence, this work contributed to **enhanced EU assessment methodologies, and improved relevance and complementarity of projects** funded by the Trust Fund and other EU instruments in the Sahel. ■

## UN - Haiti: support for free legal aid

In 2017 the United Nations' Justice and Corrections Service requested DCAF's technical assistance to conduct a lessons learning of the support provided by the United Nations Stabilization Mission in Haiti (MINUSTAH) to expand the establishment of legal assistance offices across Haiti, in an effort to increase stability and security in the country.

DCAF's recommendations have been met with a positive response by the UN Mission, first of all in the design of the exercise, where the recommendation to adopt a joint approach with other organizations (such as

USAID) has been followed. This had a positive **result** as the lessons learned exercise directly contributed to **strengthening the partnership and harmonization of subsequent programming** by the UN and USAID. Such a joint approach had not been a result of previous lessons learned exercises by the Justice and Corrections Service.

The **second result** is related to the findings and recommendations captured in the lessons learned report which had a positive impact upon the subsequent planning of UN support for free legal aid in Haiti, for instance through the creation of a national legal aid scheme in the country. As a result, **key recommendations of the report were included in the model of legal aid provision** adopted by the Haitian authorities through the approval of a national law in 2018. ■

The recommendation to adopt a joint approach with other organizations was followed. The lessons learned exercise directly contributed to strengthening the partnership and harmonization of subsequent programming by the UN and USAID.

# Other Multilateral Platforms



In 2020 DCAF continued to provide institutional and substantive support to various multilateral and multi-stakeholder initiatives, including:

- **Montreux Document Forum (MDF)** – comprising 57 states and three international organizations committed to obligations under international law and good practices relating to the activities of private military and security companies (PMSCs) during armed conflict, with DCAF serving as Secretariat.
- **International Code of Conduct Association (ICoCA)** – a multi-stakeholder platform related to the responsible provision of private security in accordance with human rights, involving nearly 100 companies, seven states, and 40 civil society groups, with DCAF providing implementation support.
- **Voluntary Principles Initiative (VPI)** – that promotes the implementation of a set of guiding principles for companies on providing security for their operations while respecting human rights. It includes 10 governments, 32 companies, and 14 civil society organizations, with DCAF serving as preferred implementing partner for projects carried out within the framework of the initiative.
- **International Conference of Ombuds Institutions for the Armed Forces (ICOAF)** – a trans-governmental network of representatives from over 70 states and 15 multilateral institutions.
- **Police Cooperation Convention for Southeast Europe (PCC SEE)** in the Western Balkans, for which DCAF serves as the Secretariat. The results for this platform are presented in the chapter on Europe and Central Asia.

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## Montreux Document

DCAF's work on private military and security companies (PMSC) started in 2004 with initial research on private security regulation laying the foundation for the development of international regulatory frameworks. DCAF supported the development of the Montreux Document (MD), which was adopted in 2008, and continues to promote the MD initiative to ensure PMSCs adhere to obligations under international humanitarian law. The Montreux Document Forum supports states to implement the regulatory framework. It has had significant momentum in 2020 with Nigeria, Madagascar, and Trinidad and Tobago all integrating the tenets of the MD into national legal reform processes.

One **important result** achieved in 2020 is an **increase in the engagement of states and international institutions**. DCAF has conducted sustained outreach to the four EU countries that are not yet supporters of the MD. As a result, Malta officially joined in 2020. Furthermore, the Slovak Permanent Mission in Geneva recommended to its government to consider joining the initiative. This demonstrates that DCAF's targeted focus on an EU regional strategy is progressively achieving results in terms of a growing membership and subsequent application of MD good practices at the EU level. ■

## The International Code of Conduct Association

For more than 10 years DCAF has partnered with the Swiss Federal Department of Foreign Affairs to support the development of an International Code of Conduct for Private Security Service Providers, as well as the International Code of Conduct Association - the multi-stakeholder oversight mechanism for implementation of the Code. The ICoCA is among the main international actors promoting responsible provision of private security services. DCAF's contribution includes both promoting implementation of the Code, and partnering with the Association on initiatives to foster good governance in the private security industry.

In 2020, a number of interesting immediate results can be reported. The **first result** is related to ICoCA's overall **strengthening of its oversight capacity**. By fulfilling its monitoring function, it has become more accessible to potential complainants in complex environments, a major step forward. Regarding progress in the development of ICoCA's monitoring function established with DCAF support: seven companies lost their membership in 2020 for non-compliance, non-payment of membership dues, or non-submission of annual self-assessments. 90% of member companies submitted their self-assessment, one of ICoCA's key monitoring tools. This demonstrates the integrity of the Association's oversight mechanisms.

The **second result** is the **increase in the Association's membership**. DCAF and other experts encouraged the widening of the Association's reach to smaller, local private security companies who were not joining because the certification process was very resource-intensive. As a result in 2019 a new category of Affiliate Membership was created, and this year there are six new affiliate members from Iraq, Libya, South Sudan, Ukraine, and Haiti, bringing the total membership to 29. It is expected that through targeted outreach this number will grow significantly.

The **third result** relates to a further **strengthening of the oversight role of civil society groups**. DCAF has been supporting these groups to conduct regular dialogues between key actors, and promoting a prevention-based approach to security and human rights challenges around mining and extractive operations. Through such projects, DCAF recommended ICoCA membership to groups with solid private security governance expertise. In 2020, three DCAF-supported civil society partners joined the Association: LITE Africa - Nigeria, Wated - Tanzania, and OEARSE - DRC. Furthermore, an additional DCAF-supported partner became an ICoCA Board Member of - Usalama from Kenya. This result testifies to a meaningful expansion of the role and capacity of civil society groups to promote the Code's standards, compared to a few years ago when their understanding and awareness of the Code and the ICoCA was very basic. ■

Seven companies lost their membership in 2020 for non-compliance, non-payment of membership dues, or non-submission of annual self-assessments. 90% of member companies submitted their self-assessment, one of the key monitoring tools. This demonstrates the integrity of the Association's oversight mechanisms.

## Voluntary Principles: security and human rights challenges in complex environments

DCAF has partnered with the ICRC since 2012 to promote responsible business conduct. The objective is to enable companies operating in complex environments to protect their operations in a way that respects human rights and international humanitarian law, in alignment with the Voluntary Principles on Security and Human Rights (VPs). The activities of extractive companies carry the potential for serious human rights violations when security forces are assigned to protect mining sites. The VPs guide extractive companies through a comprehensive human rights risk assessment in their engagement with public and private security providers. The Voluntary Principles Initiative (VPI) facilitates platforms where civil society, governments, and companies come together to address problems through dialogue and cooperation.

The DCAF-ICRC partnership has produced two flagship publications: the *Toolkit on Addressing Security Challenges in Complex Environments*, and *From Commitment to Impact: A Guide for Local Working Groups on Business, Security and Human Rights*. Several results were achieved in 2020 emerging from the use of the Toolkit and the Guide.

The **first important result** is the **implementation of the Toolkit among the Mining Police of South Kivu** in the form of new training modules. A pilot training took place to test the modules, after which the police in the province began using them in their training courses. The way this result has been achieved is noteworthy. A Mining Police commander who had participated in the training committed a severe human rights violation against a shepherd trespassing on a mining site. Advocacy and reports to the provincial authorities by the VP Working Group led to the removal of the commander from his post. In this situation, the training may have failed on an individual level with the Commander. However, the training successfully raised awareness and understanding on an institutional level of what is, and is not, acceptable behaviour. The example also illustrates a major result: that civil society groups are increasingly empowered to advocate for the removal of perpetrators who violate human rights.

The **second result** concerns the **integration of security and human rights good practices into the revision of the Code of Risk Mitigation for Artisanal and Small Scale Mining Engagement in Formal Trade** (CRAFT Code). The Code was developed to facilitate due diligence by all stakeholders in artisanal supply chains, while improving artisanal and small-scale miners' access to formal markets. The first version of the Code did not contain guidance on the Voluntary Principles or good practices in private and public security. DCAF's inputs into the revision of the Code resulted in a new version that includes business, security, and human rights issues.

Civil society groups are increasingly empowered to advocate for the removal of perpetrators who violate human rights.

The **third result** concerns the **increasing co-operation between the Voluntary Principles and other international initiatives**. DCAF, the ICRC, and the OECD have jointly developed a study on the policy coherence between the OECD's Due Diligence Guidelines and the VPs. This is the first time the synergies and connections on responsible business between the OECD and the VPs have been articulated. In 2019, the OECD joined the Voluntary Principles Initiative as an observer, another important step forward. This implies progress in better coordination and cooperation with other important institutions in the areas covered by the VPs. Further collaboration with the OECD this year identified several entry points for greater coordination between the Voluntary Principles and due diligence initiatives in international supply chains in 2021 and beyond. ■

## Voluntary Principles working groups in the Democratic Republic of Congo (DRC)

Since 2017, DCAF has been supporting the implementation of the VPs in the DRC through multi-stakeholder groups that conduct regular dialogues between mining companies, communities, and local officials. This enables a prevention-based approach to meeting security and human rights challenges around extractive operations. There is a policy-oriented working group based in the capital, Kinshasa, and three VP working groups in the provinces.

In South Kivu, DCAF provides support to a working group with representatives from government, the private sector, and civil society, and helps reinforce the capacities of the South Kivu Mining Police to respect human rights. In Haut-Katanga, DCAF aims to revitalize an existing working group by providing strategic support to augment the group's membership base in terms of equitable representation and capacity to respond effectively to security and human rights risks. A new working group established in 2020 in the mining town of Kolwezi in the Lualaba province, and is now working independently to understand local dynamics and address specific challenges. These three provincial working groups regularly share experiences with each other.

In this area the year 2020 has again shown some interesting results that highlight progress in preventing conflicts and defusing tensions which in the past regularly resulted in serious human rights violations.

The **main result** in 2020 is that the **South Kivu Working Group has become a widely known multi-stakeholder platform** capable of effectively addressing security and human rights risks and incidents. This became clear when local mining communities and companies started pro-actively contacting the working group in 2020 when facing security and human rights problems. By addressing incidents through dialogue and sharing international good practices, the working group was able to contribute to a reduction of tensions on several occasions. After incidents, the working group monitors security forces' conduct and reinforces a sense of the common responsibilities for improving the provision of security. One result was that the South Kivu Mining Police fully supported

several recommendations developed within the working group that were then conveyed to the provincial and national level of the Congolese police, providing essential information on how to improve police performance.

A concrete example of the positive impact of the activities by the working group concerned the Kalimbi Mining site, an artisanal mining zone in the town of Nyabibwe, where different cooperatives claimed the right to extract minerals without official authorization. This resulted in rising tensions and security incidents such as kidnappings and stabbings committed by informal security guards and members of cooperatives. Strong intervention by the working group with mediation and awareness raising alleviated the situation. After a mediation agreement between the cooperatives was signed, the mining site reopened and maintained its certification as a mining site compliant with OECD supply chain Due Diligence Guidelines. In 2020, the working group continued monitoring the

“ We have learned to focus on security and human rights by developing innovative approaches. We have built a bridge between the Voluntary Principles, the security sector and human rights, and the duty of care. This complementarity is proving to be very useful for the exercise of a responsible trade in minerals in South Kivu.”

— Eric Kajemba, Director  
Governance and Peace Observatory  
Democratic Republic of the Congo

situation through field missions. Throughout the year cooperatives used the mediation services of the working group to solve conflicts before tensions rose too high. It is an impressive result of the work of the WG in line with the VPs.

The **second result** concerns the **changed behaviour of the Mining Police** following their participation in DCAF-supported training courses on the Voluntary Principles in South Kivu's mining sites. Monitoring missions after the training demonstrated that it had a real impact on the work of the police. Officers started using the training materials at their own initiative when briefing their subordinates. For instance, police commanders deployed to artisanal mining sites in Shabunda Territory and to the industrial mining site in Mwenga Territory regularly use the training manual on VPs to share knowledge on human rights and correct police behaviour with officers under their command. This demonstrates the police commanders' appropriation and willingness to independently promote good policing practices.

At the same time, progress could be noticed in the reduced cases of violations of human rights by the Mining Police following the training. After police officers were accused of shooting into a crowd of protestors and injuring several in the Twangiza communities, the working group supported

Police commanders at artisanal and industrial mining sites regularly used the Voluntary Principles training manual to share knowledge on human rights and correct police behaviour with officers under their command.

the local police to report the case at the provincial level. The alleged perpetrators of the violations were removed from the site. In another area, the working group also assisted in advocating for the removal of a police commander who had ordered his subordinates to assault an artisanal miner. The offending commander was replaced by a commander who had been a participant and had benefitted from the 2019 VP training course. The WG's various monitoring missions clearly demonstrated that, slowly but surely, progress in 2020 is being made in implementing good practices that were disseminated in the DCAF training course of 2019. ■

## Voluntary Principles working groups in Peru

The Peruvian National Working Group on Security and Human Rights was created in Lima in 2010 at the initiative of civil society groups and companies to help manage the impact of growing social conflict. DCAF started to engage with the group in 2015 and our Security and Human Rights Implementation Mechanism (SHRIM) is currently supporting its activities in partnership with the Institute

of Democracy and Human Rights of the Pontifical Catholic University of Peru, which assumed the group's Secretariat since 2019. In 2017 a regional working group was created in Cusco in the Macro South region of Peru where there is a strong mining presence. In 2020 the main result is found in the Cusco working group's response to social conflict and tension. In July, a new conflict arose around the Espinar mine between the community, the mining company, and the government. The working group first organized a dialogue session and then a human rights training bringing together multiple stakeholders from indigenous groups, community organizations, regional government, police, and at least two of the major multinational mining companies operating in the region. As a result, the working group network expanded to include a wider range of stakeholders, which helped build a foundation of trust. This will foster further dialogue and more focused discussions on business and security issues. A big step forward is also that companies that have always resisted direct discussion with social leaders – for fear of being targeted with name-and-shame actions – are now actively engaged in direct dialogue through the working group. The RWG has thus managed to establish its position on the regional landscape as an actor that is trustworthy, neutral, and proactive, therefore reaching one of the primary goals of this project. ■

Companies that have always resisted discussion with social leaders are now actively engaged in direct dialogue.

of Democracy and Human Rights of the Pontifical Catholic University of Peru, which assumed the group's Secretariat since 2019. In 2017 a regional working group was created in Cusco in the Macro South region of Peru where there is a strong mining presence.

In 2020 the main result is found in the Cusco working group's response to social conflict and tension. In July, a new conflict

# Contributing to the Development of International Policy and Good Practices



Launch of *The United Nations and Security Sector Reform: Policy and Practice*. Co-edited by Adedeji Ebo and Heiner Hänggi, the book goes beyond theory to draw on the practical experiences of UN staff members as well as external security sector reform experts. Photo: DCAF.

A key part of DCAF's work is developing international policy and good practices on security sector reform and governance. DCAF is well-known for its evidence-based knowledge products, and quality research and support to multilateral and national actors. In 2020 new results were added to the already vast range of topics related to SSG/R. One of DCAF's guiding principles is gender equality, which was reflected not only in policy and research this year, but also mainstreamed in operational activities. DCAF also advanced its track record in two programmatic areas related to the private sector: business and SSG/R, and private security regulation.

# Policy and Research



DCAF further consolidated its role as the world's leading institution in SSG/R in 2020 through policy-oriented and comparative empirical research. As such, DCAF had three strategic priorities:

- Repositioning SSG/R as a universal concern that addresses different needs, in different ways, and in different contexts;
- Contributing to relevant new international policy agendas, with an emphasis on the 2030 Agenda for Sustainable Development and the Sustaining Peace Agenda;
- Developing governance-driven approaches to new and re-emerging global security issues.

In this context, the following are examples of the policy and research engagement of DCAF in 2020.

The UN 2030 Agenda for Sustainable Development continues to be one of the main international policy agendas relevant to DCAF's areas of work, and a priority for its own policy and research agenda. In 2020, DCAF embarked on a three-year project to highlight the linkages between SSG/R and Sustainable Development Goal 16 - Peace, Justice And Strong Institutions - focusing on the role and contribution of security sector oversight actors.

DCAF published a policy brief, *The Interface of Security and Development: Addressing Fragility through Good Governance of the Security Sector* for the Think 20 Summit, convened prior to the G20 Leaders' Summit. The policy brief argued that hard-earned development gains are lost to fragility, to which governance-driven security sector engagement may offer a cure. Hosted by Saudi Arabia, the policy brief passed through multiple rounds of review and the T20 final communiqué included one of DCAF's recommendations.

While DCAF continued to consolidate knowledge in its areas of expertise in 2020, it also expanded its body of knowledge on

new or re-emerging issues, often viewed as "non-traditional" security threats that have implications for SSG/R and may call for specific reforms, such as the global COVID-19 health crisis. As part of DCAF's expanding portfolio of activities on SSG/R and climate change, it began preliminary research on the topic, informing an internal reflections research paper at the organization level and building the knowledge basis for participation in various international forums discussing climate change and security throughout 2020.

To cap off the year, DCAF hosted the annual joint seminar with the United Nations Office in Geneva under the theme 'The impact of climate change on global and local security governance'. The report and other resulting knowledge products are expected to be released in 2021.

The SSG/R Backgrounder series remained DCAF's principal vehicle for disseminating fundamental knowledge on the organization's thematic areas of work. The Backgrounders provide concise introductions to topics and concepts in SSG and SSG/R, summarizing current debates and explaining key terms. In 2020, DCAF published a new SSG/R Backgrounder on *Health Crisis and the Security Sector*. ■

# Gender and Security



Advancing gender equality in security sectors around the world remained a key commitment for DCAF in 2020. Activities focused on the launch and dissemination of knowledge products and support for national partners to integrate gender considerations into their oversight, management, and delivery of security services.

DCAF's release of the updated version of the flagship *Gender and Security Toolkit* was followed by several global launch events, and translation of its policy briefs and tools into several languages. DCAF also supported the Elsie Initiative, a Canadian government-funded project to reduce barriers to women's meaningful participation in UN peace operations. DCAF created a toolbox for countries to use in applying the assessment methodology we also created - Measuring Opportunities for Women in Peace Operations (MOWIP). It was piloted in eight countries. Although important outputs have been achieved in many projects this year, it is too early for results at the outcome level.

DCAF's support to national partners increased in 2020, both through more substantive gender-specific projects and integrating gender considerations into broader operational projects, including:

- Partnering with judges and prosecutors to address domestic violence and violence against women in the Ukrainian Criminal Justice System (2018-2021);
- Supporting the national police of Ukraine, Colombia, and Honduras to conduct institutional gender self-assessments;
- Supporting the Niger Police Academy to implement its anti-sexual harassment policy including development of a training curriculum;
- Designing and delivery capacity building workshops on security and peace issues for Yemeni women leaders to support their involvement in the ongoing peace process in the country;
- Providing guidelines for police and civil society on gender-sensitive responses to gender-based violence during COVID-19, in particular domestic violence in Morocco, Colombia, and Honduras. ■



Training for the Kosovo Police.  
Photo: DCAF.

# Business and Security



DCAF continued to work with national and international partners to ensure the private security sector operates within a framework of the rule of law, respect for human rights, and international humanitarian law. DCAF's work in business, security and human rights this year focused on operational support, while maintaining a commitment to the development of applied policy research.

At both the international policy level and the operational field level DCAF promoted respect for human rights, drawing on its engagement with the Montreux Document, the Voluntary Principles on Security and Human Rights, and the International Code of Conduct for Private Security Service Providers. DCAF also continued its focus on international responsible business conduct and supply chains, and business and human rights forums at the Organization for Economic Co-operation and Development and the United Nations.

DCAF supported the establishment and expansion of observatory networks in Sub-Saharan Africa to reinforce civil society oversight of private security. This year 15 civil society organizations from 10 regions of the Democratic Republic of Congo participated in developing a tool to collect, document, and report on private security operations in line with the standards in the International Code of Conduct. The observatory also contributed to the institutional capacity of the ICoCA to monitor PSCs through these CSOs.

DCAF's bottom-up approach in empowering civil society groups to advocate for effective private security regulation has demonstrated important results in 2020. Of note, DCAF has continued and expanded its programme in Nigeria by supporting a Private Security Governance Forum which convened private security companies, civil society organisations, state, and government ministries to strengthen Nigeria's private security governance and inform private security regulatory developments.



Human rights training for Mining Police in the Democratic Republic of the Congo. Photo: DCAF.

DCAF continued to support the implementation of the Voluntary Principles at the local level through multi-stakeholder working groups in Peru, the DRC, and Nigeria that promoted dialogue among on security and human rights challenges and needs. The activities of the working groups demonstrated how their efforts to build trust and serve as a neutral facilitator can reap tangible results. ■

# ANNEX: DCAF's Approach to Results-based Management

In the absence of clearly articulated results it is difficult to assess the extent to which a project or programme has succeeded or failed. Explicitly defining the results that DCAF aims to achieve helps orient activities towards measurable objectives, monitor progress towards those objectives, and guide the adjustment and implementation of activities. The development of a results framework, which illustrates how activities are thought to contribute to a causal sequence of results that produce a desired change, lies at the heart of Results-based Management (RBM). A well-conceived results framework and its underlying theory of change therefore serve as an important instrument in the successful implementation and monitoring of support, as well as ongoing critical reflection on performance.

According to DCAF's corporate results framework, the ultimate goal of the organization is to contribute to improved security for its partner states and their people within a framework of democratic governance, rule of law, and human rights (impact), thereby helping to create an environment conducive to sustainable peace and development.

In pursuit of this goal, DCAF assists partner states and international actors to improve governance of national security sectors through inclusive and participatory reforms that are in line with international norms and good practices, and responsive to specific local contexts and challenges (main result).

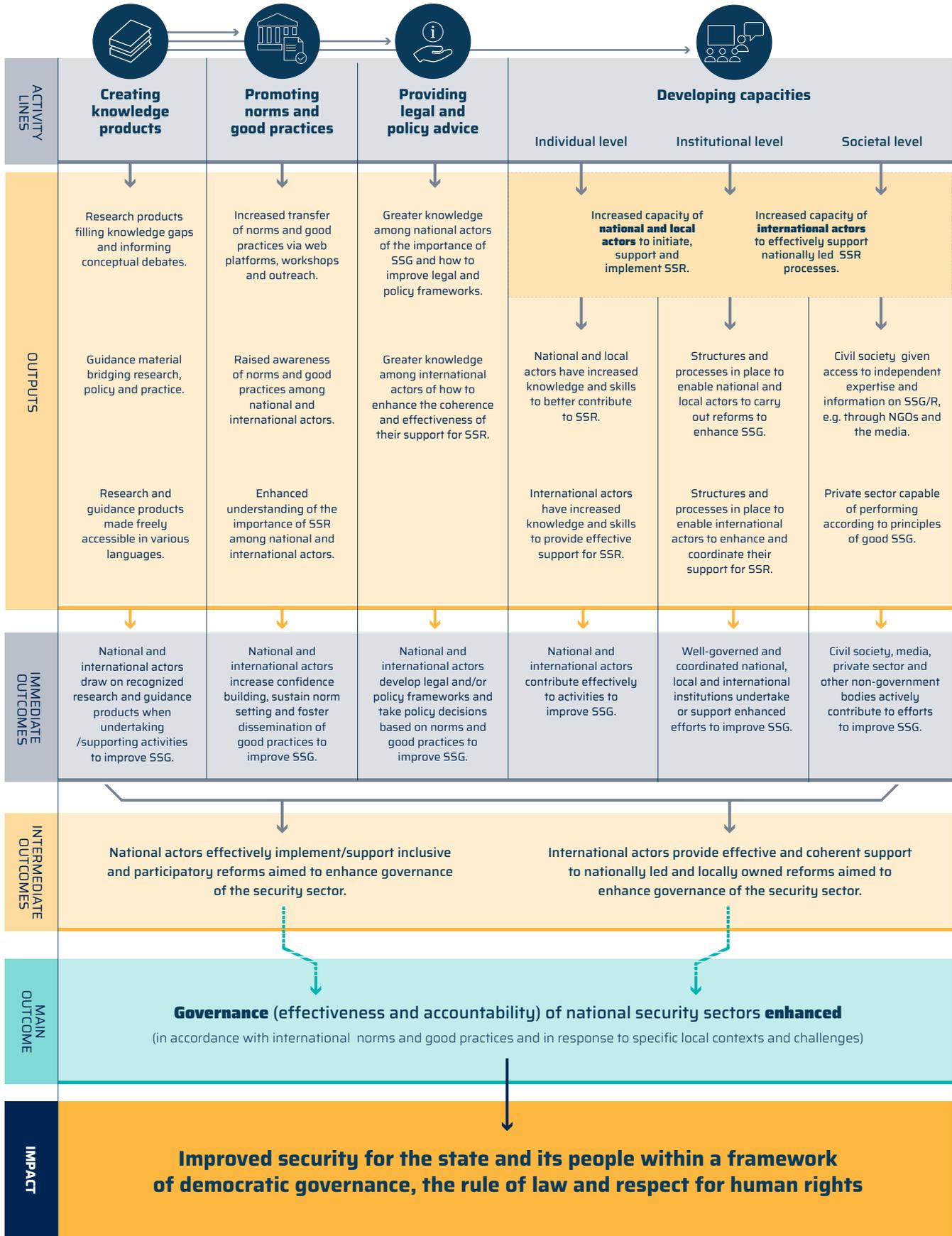
To achieve enhanced governance of national security sectors (i.e., the delivery of more effective and accountable security services in compliance with human rights and the rule of law), DCAF follows two main pathways (intermediate results):

- Directly supporting national actors to effectively implement and/or promote inclusive and participatory reforms aimed at enhancing security sector governance (SSG), while maintaining the principle of local ownership;
- Assisting international actors (bilateral and multilateral donor agencies) to provide effective and coherent support to nationally-led and locally-owned reforms aimed at enhancing SSG/R.

On both of these pathways, DCAF works along four main activity lines to produce short-term results (outputs) that lay the groundwork to achieve immediate effects on the management, provision, and oversight of security services (immediate results), which in turn contributes to the ultimate goal of enhanced SSG/R and improved state and human security. These four activity lines are: creating knowledge products; promoting norms and good practices; providing legal and policy advice; and developing capacities at the individual, institutional, and societal levels.

Each activity line is associated with specific outputs that typically manifest as increased knowledge of the normative concept of, and gaps in, SSG/R (creating knowledge products); greater awareness of norms and good practices in SSG/R (promoting norms and good practices); increased understanding of appropriate measures to enhance SSG/R in line with international best practice (providing legal and policy advice); and increased skills and knowledge to contribute to reform processes (developing capacities at the individual, institutional, and societal levels).

FIGURE 1. DCAF'S CORPORATE RESULTS FRAMEWORK



### **Direct causality versus contribution to results**

DCAF recognizes that it is often difficult to attribute changes in SSG/R to a specific project or programme, or to prove that there is a direct causal link between activities and observed changes. While short-term results (outputs) may be directly attributable to DCAF activities and in this sense “achieved” by the organization, it is only possible for DCAF to “contribute” to medium-term results (results). Above all, results at this level are owned by the national and international partners that DCAF supports.

In addition, assistance provided by other actors, as well as external factors beyond the control of a specific project, may play a role in the realization of these results. Nevertheless, it is important to monitor medium-term results to which DCAF support has plausibly contributed, to ensure that activities are positively affecting SSG/R as stipulated by the theory of change underlying DCAF’s corporate results framework. This report therefore demonstrates the medium-term results (immediate and intermediate results) to which DCAF has plausibly contributed.

### **Understanding the “missing middle”**

Immediate and intermediate results describe the medium-term effects of DCAF activities. While DCAF seeks to contribute to intermediate results, they are considered beyond the control of the organization; however, to some extent, immediate results are within DCAF’s control, as only a limited number of external factors affect results at this level. Immediate results generally

document emerging changes in security governance practices and indicate shifts in attitudes, behaviours, or the normative and institutional framework of a security sector. In practice, these changes may be embodied in the development or revision of legal and policy frameworks in line with DCAF advisory support, the application of skills and knowledge acquired through DCAF-led training, or the endorsement of norms and good practices promoted by DCAF.

Determining whether the work of DCAF is contributing to these immediate and intermediate results is the main purpose of the organization’s corporate approach to RBM. Unlike the monitoring of projects or programmes conducted by divisions within the organization, DCAF corporate monitoring focuses exclusively on contributions that link results at the bottom of the corporate results chain (activities, outputs, and immediate results) with results at its upper end (intermediate results, main result, and impact).

In this way, DCAF aims to better understand the “missing middle” between short-term and long-term results, which is a precondition for having a sustainable impact on improved security for a state and its people. Still, DCAF recognizes that it is unrealistic to expect projects and programmes to yield medium-term results in every monitoring period (year). In some cases, results do not occur for several years, especially higher-level results related to changes that reach indirect beneficiaries of support, such as local communities or the public at large.

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