Managing for Results

DCAF Performance Report 2016

DCAF

a centre for security,
development and
the rule of law

About this report
This first-ever annual performance report completes the second and final phase of the piloting of DCAF's corporate approach to results based management (RBM). It provides an overview of the activities, projects and programmes that DCAF implemented in 2016 and presents the medium-term results to which DCAF contributed in the reporting period. With this report DCAF aims to enhance accountability towards national and international partners and to pave the way for improved strategic steering and lesson learning.

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LIST OF ACRONYMS AND ABBREVIATIONS

AI	Atlantic Initiative
ARGA	Alliance pour Refonder la Gouvernance en Afrique
ASEAN	Association of Southeast Asian Nations
AU	African Union
BI	Building Integrity
BSEWS	Border Sentry Early Warning System
CSAP	Civil Society Advisory Panel on Women, Peace and Security
CSO	civil society organization
DCAF	Geneva Centre for the Democratic Control of Armed Forces
DDR	disarmament, demobilization and reintegration
DGPR	Direction Générale des Prisons et de la Rééducation
DPKO	UN Department for Peacekeeping Operations
ECOWAS	Economic Community of West African States
ERW	explosive remnants of war
EU	European Union
EUPOL COPPS	EU Coordinating Office for Palestinian Police Support
FAST	fugitive active search team
FBA	Folke Bernadotte Academy – Swedish Agency for Peace, Security and Development
FES	Friedrich Ebert Stiftung
GICHD	Geneva Centre for Humanitarian Demining
GCTF	Global Counterterrorism Forum
HJPC	High Judicial and Prosecutorial Council
IADB	Inter-American Development Bank
ICOAF	International Conference of Ombuds Institutions for Armed Forces
ICoC	International Code of Conduct for Private Security Providers
ICoCA	International Code of Conduct for Private Security Providers Association
ICRC	International Committee of the Red Cross
IPF-SSG	Inter-Parliamentary Forum on Security Sector Governance
IPU	Inter-Parliamentary Union
ISSAT	International Security Sector Advisory Team
M&E	monitoring and evaluation
MDF	Montreux Document Forum
MPF	Myanmar Police Force
MSCP	Ministry of Security and Civil Protection of Mali
NATO	North Atlantic Treaty Organization
NCGP	NATO Committee on Gender Perspectives
NGO	non-governmental organization
OIF	Organisation internationale de la Francophonie
OSCE	Organization for Security and Co-operation in Europe
OSCE PCU	OSCE Project Coordinator in Ukraine
PCC SEE	Police Cooperation Convention for Southeast Europe
PMSCs	private military and security companies
PSCs	private security companies
RBM	results-based management

SALW	small arms and light weapons
SDC	Swiss Agency for Development and Cooperation
SDGs	Sustainable Development Goals
SGBH	sexual and gender-based harassment
SPCP	Swiss Regional Police Cooperation Programme in the Western Balkans
SSG	security sector governance
SSG/R	security sector governance and reform
SSR	security sector reform
SUCAMEC	Control de Servicios de Seguridad, Armas, Municiones y Explosivos de Uso Civil
TFNA	DCAF Trust Fund for North Africa
UN	United Nations
UNDP	UN Development Programme
UNLIREC	UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean
UNPOL	UN Police Division
UXO	unexploded ordnance
VPs	Voluntary Principles on Security and Human Rights
WANEP	West African Network for Peacebuilding

EXECUTIVE SUMMARY

This first-ever performance report is an unprecedented effort to demonstrate the positive effects that DCAF support is having on security sector governance (SSG), in particular in some of the most fragile and conflict-affected regions. It is the **first report in a series of annual performance assessments as part of DCAF's transition towards results-based management (RBM) at the corporate level**. In providing an overview of programmes, projects and activities undertaken, and outlining the medium-term results that materialized in 2016, it enhances accountability and transparency towards national and international stakeholders with which DCAF partnered in the last year and lays the empirical foundation upon which insights on the effectiveness and sustainability of DCAF's work can build.

DCAF's CORPORATE APPROACH TO RBM

DCAF's **corporate monitoring system measures the organization's contribution to immediate and intermediate outcomes, which are located at the intersection of the lower and higher levels of the corporate results chain**. By focusing on intermediary results, DCAF aims to understand better the "missing middle" between short-term and long-term results, which is a precondition for the achievement of a sustainable impact on improved state and human security. The corporate results framework sets out how the organization's activities contribute to its **ultimate goal of improved security for its partner states and their peoples within a framework of democratic governance, the rule of law and human rights**, which is crucial for securing sustainable development. To achieve this goal, DCAF assists partner states, and international actors (bilateral and multilateral donor agencies) supporting these states, in improving the governance of national security sectors worldwide through inclusive and participatory reforms that are in accordance with international norms and good practices and responsive to specific local contexts and challenges.

The **results presented in this report are drawn from the monitoring reports submitted for the second phase of piloting the corporate RBM system which track progress towards the achievement of immediate and intermediate outcomes, as specified in the DCAF corporate results framework, for the period of 2016**. To test the corporate RBM system and address challenges arising from its application at an early stage, **DCAF engaged in a two-phased piloting process which enabled a gradual transition towards a corporate approach to RBM**. While only a sample of projects and programmes was covered by corporate monitoring at the levels of immediate and intermediate outcomes in the first phase of piloting in 2015, during the second phase of piloting the large majority of projects and programmes that were implemented during the reporting period (2016) were assessed with regard to the achievement of immediate outcomes. The results documented in this report are representative of DCAF's support even though they do not include all results to which DCAF may have contributed in 2016. It is important to note that not every project and programme contributed to outcomes in 2016, as it may take multiple years for such changes to be observed or materialize. **DCAF recognizes that the results which projects and programmes may yield vary significantly across time and space, depending on their stage of implementation, local conditions and the influence of external factors**.

DCAF's AREAS OF ENGAGEMENT IN 2016

In line with DCAF's corporate results framework, this report provides an account of DCAF's direct support to national partners as well as its indirect assistance to international partners. In addition, it illustrates DCAF's work on the development of international policy and good practices in the field of security sector governance and reform (SSG/R). In 2016 **DCAF supported the implementation of national reforms that promote the application of principles of good governance to the security sector** through a diverse array of activities in Southeast Europe, the Middle East and North Africa, sub-Saharan Africa, Eastern Europe, the South Caucasus

and Central Asia, Asia–Pacific and Latin America and the Caribbean. Common thematic priorities and main areas of focus across these different regions included assistance to enhance the effectiveness and accountability of police, criminal justice and defence institutions; to improve the capacity of parliament and independent oversight institutions to monitor the implementation of security policies; to strengthen the capacity of civil society organizations (CSOs) and the media to contribute to the democratic governance of the security sector; to promote gender equality in security and justice institutions; and to increase the regulation and accountability of private security companies.

In terms of support to **reinforce the delivery of assistance to nationally led SSR processes by international actors**, DCAF's activities mainly focused on bilateral donors, multilateral organizations and other multilateral platforms. Core areas of engagement with international partners involved support to enhance the capacity of security sector reform (SSR) practitioners and policy-makers to plan, implement and evaluate SSR support programmes; to develop or implement normative and operational frameworks of international and regional organizations in line with fundamental principles and norms of SSG/R; to devise instruments and approaches to implement global governance schemes aimed at improving oversight and accountability of the private security industry; to strengthen the capacity and role of ombuds institutions in exercising oversight of the armed forces; and to foster regional police cooperation.

Another important area of engagement underpinning DCAF's assistance to improve the governance of national security sectors around the world was activities designed to **provide meaningful contributions to international policy discourses on development, peace and security and to develop international standards and good practices for SSG/R**. Key priorities and main areas of focus in 2016 included policy research on the role of the security sector in detecting, preventing and managing global health crises; monitoring and evaluation in the field of SSG/R; good practices to promote gender equality in the management, delivery and oversight of security services; international standards to regulate the private security industry; and good practices in the areas of cybersecurity and business and human rights.

KEY RESULTS 2016
In accordance with its vision to promote enhanced SSG within a framework of democratic governance, the rule of law and human rights, DCAF support in 2016 contributed to a wide variety of medium-term results across different regions and thematic priorities. The following items summarize the key results to which DCAF contributed in 2016 based on its projects and programmes, whether delivered through support to national partners or through assistance to international partners. Recognizing that results at the outcome level are owned by the national and international partners that DCAF supports and typically are the product of efforts by a diverse range of stakeholders, **the report presents the medium-term results to which DCAF has plausibly contributed and does not presume to establish direct causality between activities and observed changes.**

- **DEVELOPMENT OF POLICY FRAMEWORKS IN LINE WITH GUIDING NORMS FOR GOOD SSG/R.** DCAF support contributed to a number of national and international initiatives to change policy frameworks that guide the formulation and implementation of security policies. For instance, DCAF's assistance provided the impetus for the initiation of policy reforms in the areas of information management and public relations (occupied Palestinian territories); the independent review of various action plans addressing humanitarian mine action and security threats posed by other explosive remnants of war (Ukraine); the development of a monitoring and review plan for the implementation of a new policy to prevent sexual and gender-based harassment (SGBH) within the judiciary system (Bosnia and Herzegovina); and the adoption of a new policy framework for the delivery of assistance to national SSR processes by an international donor (European Union).

- **NATIONAL LEGAL REFORMS TO STRENGTHEN THE RULE OF LAW IN SSG.** DCAF support contributed to the development of multiple draft legal texts and amendments to legal frameworks. For example, DCAF support was key to national authorities drafting laws or initiating legislative processes to enhance the regulation of the private security industry (Peru and Costa Rica), to align legal frameworks for policing with international standards (occupied Palestinian territories) and to review a commentary on draft legislation related to humanitarian mine action (Ukraine); to developing and adopting new regulations on handling citizen complaints against security forces; and to developing and signing implementation agreements to ensure the effective application of the Police Cooperation Convention for Southeast Europe (Bosnia and Herzegovina, Montenegro, Albania and Macedonia[1]).

- **INSTITUTIONAL CHANGES TO IMPROVE THE PROVISION AND OVERSIGHT OF SECURITY SERVICES.** DCAF support contributed to changes in institutional structures and mechanisms related to the management, delivery and oversight of security services. For instance, DCAF support translated into the creation of a national intelligence centre which is responsible for coordinating operations of the various intelligence services at ministerial level and the establishment of an office for the management of penitentiary data to facilitate evidence-based decision- and policy-making (Tunisia); the introduction of a gender focal point within a parliamentary security committee (Kosovo);[2] the creation of fugitive active search teams to increase the effectiveness of cross-border police operations (Macedonia and Montenegro); and the adoption by different private security companies of new vetting and screening procedures as well as grievance mechanisms in line with principles and good practices of the International Code of Conduct for Private Security Service Providers.

- **STRENGTHENED NATIONAL CAPACITIES TO DELIVER TRAINING THAT PROMOTES PROFESSIONALISM, INTEGRITY AND RESPECT FOR HUMAN RIGHTS.** DCAF support contributed to enhanced quality and content of training for security sector personnel in partner countries. For example, its support laid the foundation for the integration of DCAF e-learning courses on police integrity into the e-learning platform of a national police service (Macedonia); the integration of the toolkit on security and human rights developed in cooperation with the International Committee of the Red Cross into the training practices for personnel of extractives companies; the embedding of principles and good practices on police integrity and gender in the delivery of training sessions for uniformed police (Montenegro); the effective promotion of standards for professional behaviour and ethical conduct contained in a code of conduct developed with the support of DCAF in the delivery of training to police officers (Niger); the successful delivery of orientation sessions on a new policy to prevent SGBH within the judiciary system which had been developed with the support of DCAF (Bosnia and Herzegovina); and the introduction and organization of a series of training workshops on service-oriented policing without external initiation or financial support by a national police service (Myanmar).

- **INCREASED EFFORTS TO PROMOTE GENDER EQUALITY IN NATIONAL SECURITY SECTORS.** DCAF support contributed to a number of local and national initiatives to increase gender equality in the management of security services. For instance, DCAF support acted as a catalyst for civil emergency services recruiting the highest number of women in their history in 2016, with women representing one-fifth of new recruits (Mali); the more active participation of women in security policy- and decision-making at the

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[1] Referred to for all purposes within the European Union (EU), the North Atlantic Treaty Organization (NATO), the Organization for Security and Co-operation in Europe (OSCE) and the United Nations (UN) as "the former Yugoslav Republic of Macedonia".

[2] The Assembly of Kosovo declared the territory's independence on 17 February 2008. While 37 member states of the DCAF Foundation recognize the independence of Kosovo as of the date of publication of this report, 25 member states do not, and continue to refer to Kosovo in the framework of UN Security Council Resolution 1244.

local level and initial measures to make security services more responsive to the distinct and different security and justice needs of men, women, boys and girls, such as the assignment of a female police officer to a local community (Liberia); and presidents of two courts appointing members of the judiciary to contribute to improving proceedings in cases of domestic violence decided at their courts (Bosnia and Herzegovina).

- **ENHANCED CAPACITY OF INDEPENDENT OVERSIGHT INSTITUTIONS TO PERFORM OVERSIGHT OF THE SECURITY SECTOR.** DCAF support contributed to parliaments and ombuds institutions performing more effective oversight of the security sector. For instance, DCAF's assistance paved the way for parliamentary security and defence committees holding security institutions accountable more effectively by critically questioning the implementation of security policies (Kosovo), and strengthening their involvement in security budget oversight through more regular interaction with security institutions on budget information and procurement processes (Kosovo and Bosnia and Herzegovina); ombuds institutions from two different countries conducting a joint inspection visit to their troops supporting the international peacekeeping operation in Mali (Germany and the Netherlands); and one ombuds institution starting to apply a new legal mandate granting the institution substantially increased powers (United Kingdom).

- **STRENGTHENED CAPACITY OF CIVIL SOCIETY TO CONTRIBUTE TO THE DEMOCRATIC CONTROL OF THE SECURITY SECTOR.** DCAF support contributed to CSOs increasingly cooperating with security institutions and playing a more important role in security dialogue and policy-making. For instance, DCAF assistance paved the way for border forces in a local community more frequently interacting with the local chapter of a transnational women's CSO by inviting members of the organization to cross-border meetings and more openly sharing information with them (Liberia); three CSOs partnering with professional training schools to deliver training on the role of civil society in SSG to personnel of the gendarmerie, police and national guard (Mali); CSOs using the toolkit for SSG/R in West Africa that provides practical guidance on the implementation of the normative framework on SSG/R of the Economic Community of West African States to raise awareness on SSG/R and support the implementation of national early-warning systems (Mali and Burkina Faso); two intelligence oversight committees of a national parliament approaching a CSO that had acquired expertise in the area of intelligence governance through DCAF support to seek advice on future reform priorities linked to parliamentary oversight of the security sector (Macedonia); and journalists publishing a number of articles that more effectively cover issues related to the security sector (Tunisia).

THE WAY AHEAD

With the production of this report DCAF completes the second phase of piloting the corporate RBM system. As its corporate RBM system becomes fully operational in 2017, **DCAF will continue to advance its use of RBM as a tool to strengthen accountability, enhance strategic steering and improve lesson learning**. There are three primary challenges with which DCAF will be confronted as it continues its process to introduce a methodologically sound and fully integrated corporate RBM system: **the ongoing need to develop and refine appropriate and meaningful performance measures**, which involves continuous learning and reflection on what indicators and instruments are most useful to assess progress towards the achievement of medium-term results; **the need to integrate empirical evidence on results fully into decision-making**, which may include the use of performance information as an additional factor in shaping budgetary priorities; and **the goal of strengthening DCAF's profile as a learning organization through increased identification of lessons derived from both successes and failures**.

I. INTRODUCTION

DCAF strives to contribute to the achievement of results which have a measurable impact on the governance of the security sector. To gear its assistance more effectively towards the achievement of results, the centre has launched a process to introduce results-based management (RBM) at the corporate level. With the development of a corporate RBM system, DCAF is seeking to add a strategic layer to the monitoring and evaluation (M&E) mechanisms already in place at the divisional level, making monitoring across the organization more coherent and shifting its focus to strategic medium-term results.

As the collection of information on results and the changes brought about by projects and programmes in a specific context lies at the centre of RBM, it provides an important vehicle for enhancing accountability and transparency towards both donors and beneficiaries of DCAF support. Through the analysis of the data collected and the integration of findings into managerial decisions, RBM also lays the foundation for enhanced strategic management and steering of the organization. Finally, insights on the performance of operational approaches in different contexts generated by RBM support corporate learning, and ultimately contribute to increasing the effectiveness and efficiency of DCAF support.

The year 2016 marked an important milestone in DCAF's transition towards a corporate approach to RBM. Building on the lessons learned from the application of the corporate RBM system in the first phase of piloting (2015), DCAF has taken further steps to track the achievement of results systematically at a strategic level, as well as to use them as a benchmark against which to measure the success of its support. Most notably, DCAF successfully completed the data collection for the second and last phase of piloting the corporate RBM system, which provided the empirical basis for the production of the present document – DCAF's first-ever annual performance report. In the second phase of piloting, DCAF significantly expanded the scope of projects and programmes that were covered by corporate monitoring, and was able to improve the quality of RBM reporting. In addition, DCAF has made progress in firmly embedding RBM within project management across the organization by aligning existing project planning tools and frameworks with the new corporate monitoring system. With these advances, DCAF has prepared the ground for the corporate RBM system becoming fully operational in 2017.

DCAF's Results Framework

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

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

Figure 1. DCAF's corporate results framework
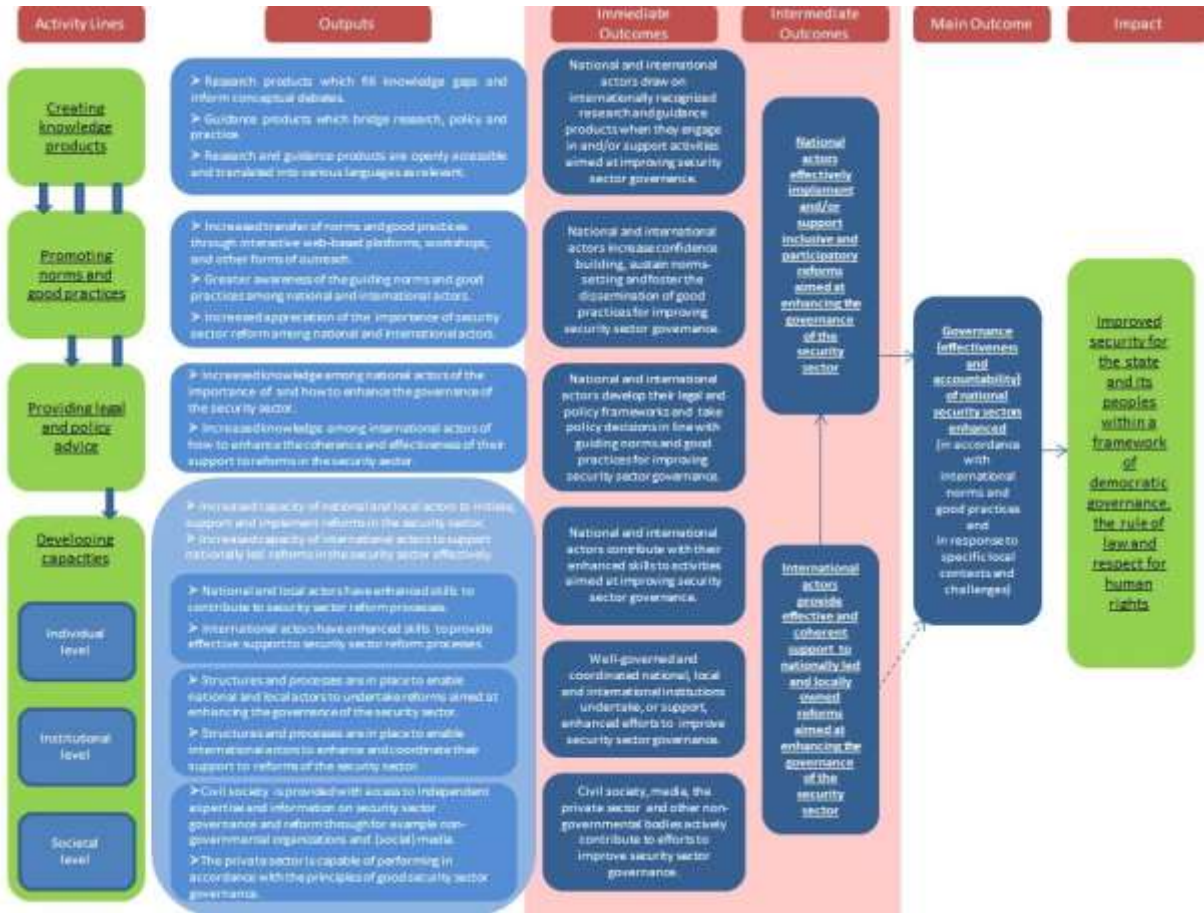
To achieve enhanced governance of national security sectors – the delivery of more effective and accountable security services in compliance with human rights and the rule of law – DCAF follows two main avenues for support (*intermediate outcomes*).

- The first involves direct support to national actors to implement effectively and/or promote inclusive and participatory reforms aimed at enhancing security sector governance (SSG), while maintaining the principle of local ownership at all times.
- The second avenue focuses on assistance to international actors (bilateral and multilateral donor agencies) to provide effective and coherent support to nationally led and locally owned reforms aimed at enhancing SSG.

For both avenues of support, DCAF works along four main activity lines to produce short-term results (*outputs*), which provide the basis for the achievement of immediate effects on the management, provision and oversight of security services (*immediate outcomes*), which in turn contribute to the ultimate goal of enhanced SSG 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. The individual activity lines are associated with specific outputs that typically take the form of increased knowledge of the normative concept of, and gaps in, SSG (creating knowledge products); greater awareness of norms and good practices in SSG (promoting norms and good practices); increased understanding of appropriate measures to enhance SSG 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).

Box 1. Direct causality versus contribution to results

> DCAF recognizes that it is often difficult to attribute changes in SSG to a particular project or programme, or prove that there is a direct causal link between observed changes and activities undertaken. 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 (outcomes). 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 have played 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 leading to positive effects on SSG as stipulated by the theory of change underlying DCAF's corporate results framework. This report therefore demonstrates the medium-term results (immediate and intermediate outcomes) to which DCAF has plausibly contributed.

The immediate and intermediate outcomes describe medium-term effects of DCAF's activities. While DCAF seeks to contribute to intermediate outcomes through its various activity lines, they are recognized as being beyond the organization's control. However, immediate outcomes are, to a certain extent, within the control of DCAF as only a limited number of external factors play a role in determining the achievement of results at this level. In general, immediate outcomes document emerging changes in security governance practices and indicate shifts in attitudes, behaviour or the normative and institutional framework of the security sector. In practice, these changes may embody 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.

DCAF's Corporate Approach to RBM

The main purpose of DCAF's corporate approach to RBM is to determine whether the centre's work is contributing to immediate and intermediate outcomes (highlighted in light red in Figure 1). Unlike project or programme monitoring conducted by divisions, DCAF corporate monitoring therefore exclusively focuses on contribution to intermediary results that link results at the bottom of the corporate results chain (activities, outputs and immediate outcomes) with results at its upper end (intermediate outcomes, main outcome and impact). In this vein, DCAF aims to understand better the "missing middle" between short-term and long-term results, which is a precondition for the achievement of sustainable impact on improved security for the state and its people. At the same time, however, DCAF recognizes that it is unrealistic to expect that projects and programmes yield medium-term results in every monitoring period (year). At times it may take several years for results to occur, in particular higher-level results that relate to changes reaching indirect beneficiaries of support, such as local communities or the public at large.

Box 2. Selection criteria for results presented in this report

This report presents a representative sample of results but does not cover all the results to which DCAF support contributed in 2016. The results for this report were selected based on the following criteria.

- *Results that were documented in monitoring reports submitted during the second phase of piloting the corporate RBM system (72 in total).* While progress towards the achievement of immediate outcomes was tracked across the large majority of projects and programmes implemented in 2016, only a selection of projects and programmes were monitored at the level of intermediate outcomes in the last year.
- *Results that reflect changes at the outcome level (immediate or intermediate) rather than outputs.* Whereas many DCAF projects and programmes yielded outputs in 2016, not every project and programme contributed to results at the outcome level, as such changes may take multiple years to be observed or materialize.
- *Results that occurred in 2016 (or were not covered by reporting in 2015).* Only results that materialized in 2016 or could not be reported in 2015 due to the unavailability of timely and credible data are included in this report.
- *Results that are based on a clear theory of change.* Only results that are based on a theory of change that could be empirically validated through primary or secondary sources of information provided in monitoring reports are presented in this report, to ensure that DCAF has plausibly contributed to the realization of these results.

To facilitate the introduction of a corporate approach to RBM, DCAF has completed a two-phased piloting process that allowed the organization to test the corporate RBM system during a transitional period. In contrast to the first phase of piloting in 2015, corporate monitoring during the second phase (2016) aimed at tracking progress towards the achievement of immediate outcomes across the large majority of DCAF projects and programmes that were undertaken in that year. While this provided a comprehensive picture of the immediate outcomes that it accomplished in 2016, DCAF continued to monitor only a selection of projects and programmes at the level of intermediate outcomes as these results are often difficult to measure and many projects and programmes, in isolation, may not have effects at this level. For this reason, the results presented in this report are representative of DCAF's support in 2016 although they do not include all results to which it may have contributed. In particular, for results to be included in this report they had to be detailed in the monitoring reports submitted as part of the second phase of piloting, or in cases where data on significant results were not available at the time of the collection of monitoring reports submitted subsequently by divisions; they had to denote changes at the levels of immediate and intermediate outcomes; they needed to have materialized in the past year, or not have been reported in 2015 due to the unavailability of timely and credible data; and they were required to be based on a clear theory of change to ensure that DCAF plausibly contributed to their realization.

Monitoring Results: The Sample

During the first phase of piloting in 2015, monitoring reports for 53 projects and programmes focusing on effects at the level of immediate and intermediate outcomes were collected, while the second phase of piloting in 2016 yielded information on immediate and intermediate outcomes for 72 projects and programmes. Sixty-nine per

cent of the monitoring reports covered examples of support to national actors, while 25 per cent related to support provided to international actors involved in security sector reform (SSR). The remaining 6 per cent included support to international policy development and good practices. In geographic terms, 30 per cent of the monitoring reports covered support in the Middle East and North Africa, followed by DCAF's other main regional areas of concentration, namely Southeast Europe (17 per cent), Eastern Europe, South Caucasus and Central Asia (14 per cent) and Sub-Saharan Africa (11 per cent). In addition, a significant proportion of DCAF projects and programmes (22 per cent) did not have a specific geographic focus as they were designed to assist bilateral and multilateral donor agencies in the planning, implementation and evaluation of SSR support, and strengthen formal and informal multilateral governance arrangements addressing specific aspects of SSG on a global level.

Figure 2. Proportion of projects/programmes according to geographic area
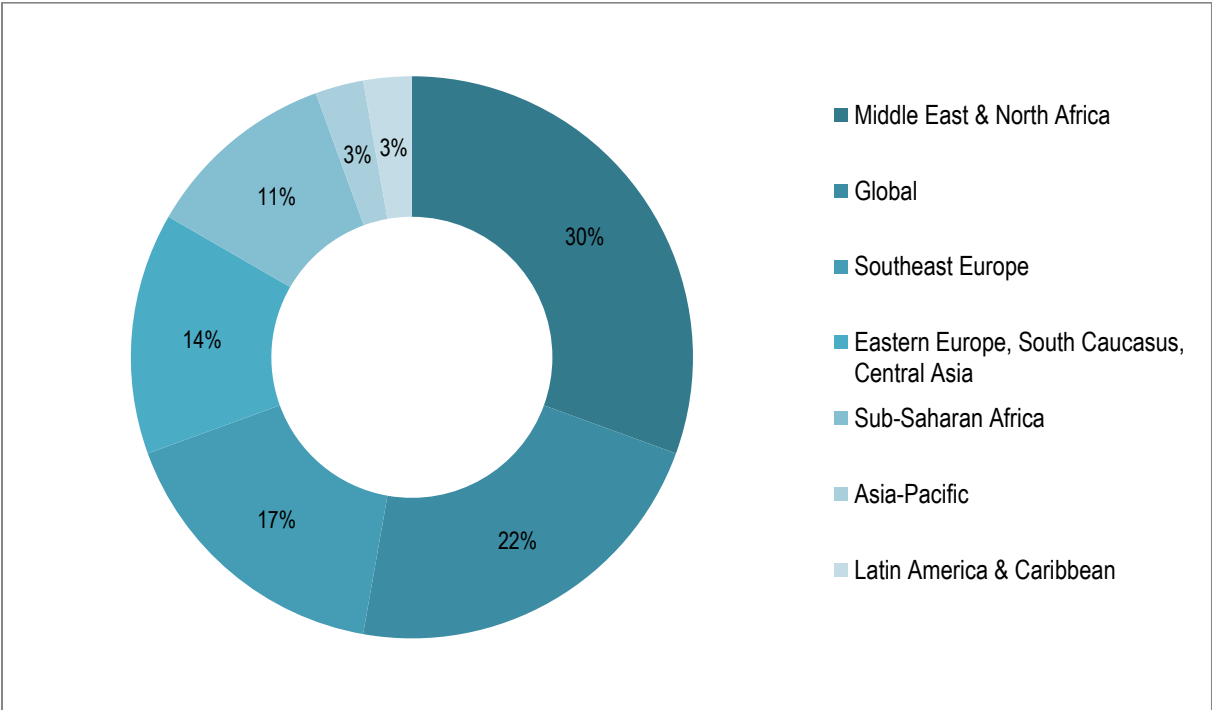
Note: The graphic only reflects projects and programmes that were subject to corporate monitoring in 2016 (in total 72). Projects and programmes that have a "global" geographic focus include assistance to bilateral donors, multilateral organizations and multilateral platforms (international actors) that is not linked to a particular geographic area (Mapping Multilateral Organizations' Approaches to SSR, Promoting Ombuds Institutions for the Armed Forces, Support to the Development and Implementation of the Montreux Document, etc.).

The monitoring reports further illustrate that the thematic focus of support in 2016 was clearly on democratic governance[3] (60 per cent), followed by support to police (17 per cent) and defence (14 per cent), general SSR-related assistance to bilateral and multilateral donor agencies (14 per cent), and support to criminal justice (10 per cent), private security services (10 per cent) and corrections (4 per cent).

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[3] The thematic category of "democratic governance" includes projects and programmes that are aimed at strengthening the constitutional and legal framework governing the security sector; the capacity of parliaments; the role of civil society in security sector governance and reform; independent oversight institutions and mechanisms (e.g. ombuds institutions and other independent bodies with specialized mandates to perform external oversight of the security sector); the system of institutional management and control (e.g. human resource and financial management, communication and information management, administrative management, and strategic planning, priority setting and decision-making); and internal oversight of security institutions (e.g. codes of conduct, line supervision and disciplinary procedures, complaints mechanisms and means for redress for victims of misconduct).
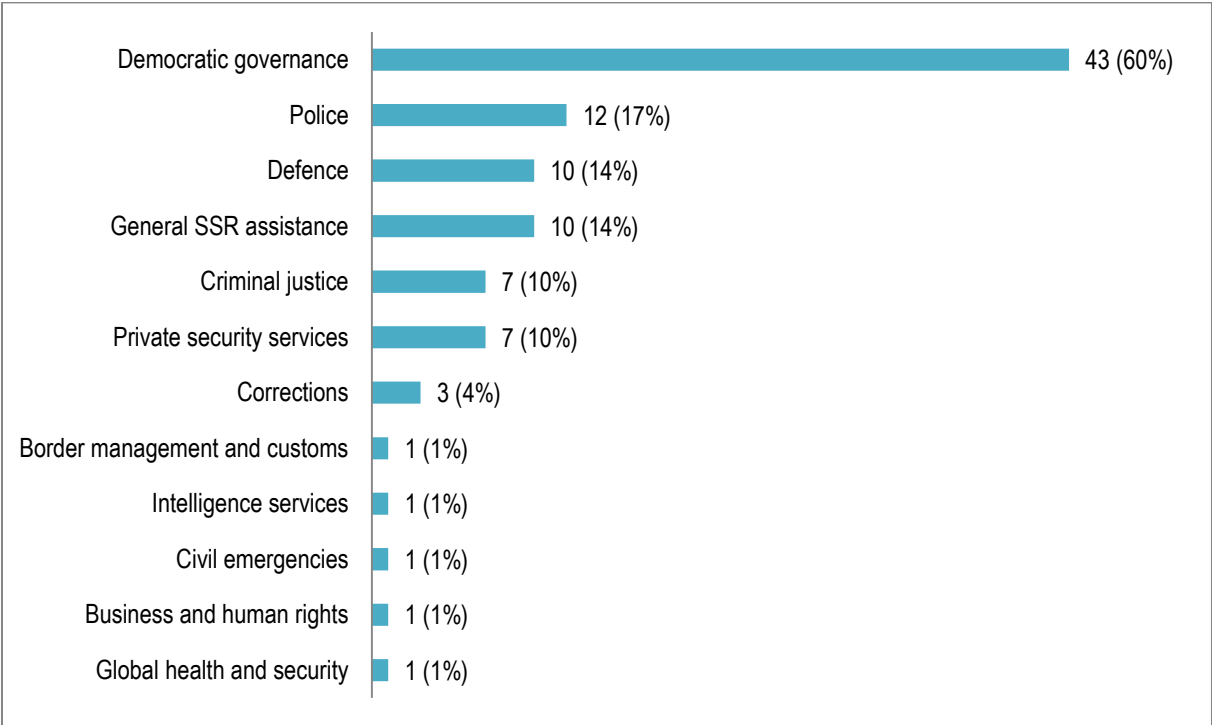
Figure 3. Number of projects/programmes per thematic focus

Note: The graphic only reflects projects and programmes that were subject to corporate monitoring in 2016 (in total 72). Several of the monitored projects and programmes matched more than one of these thematic categories and were therefore assigned to more than one category. For this reason, the percentages total over 100. For example, if a project aimed at strengthening the capacities of civil society organizations to conduct research on the private security industry in a specific country, it was coded as both "democratic governance" and "private security services".

Structure of the Report

In line with DCAF's corporate results framework, this report provides an account of DCAF's direct support to national partners as well as its indirect assistance to international partners. In addition, it illustrates DCAF's work on the development of international policy and good practices in the field of security sector governance and reform (SSG/R). The report is structured as follows.

➔ This introduction presents DCAF's objectives in relation to improving security for partner states and their peoples, and outlines the corporate approach to RBM which is used to assess DCAF's progress in contributing to these objectives.

➔ The main body of the report gives an overview of DCAF's work with national and international partners and in the area of policy and research. This includes a snapshot of DCAF's projects and programmes, activities and key medium-term results.

➔ The third section analyses the results from a comparative perspective and provides a synthesis of this information along individual activity lines specified in the corporate results framework.

➔ The report concludes with an outline of the way forward for consolidating DCAF's RBM system, including a discussion of insights gleaned from piloting and how these will inform the establishment of a robust RBM system at the corporate level.

II. KEY ACHIEVEMENTS AND RESULTS

The purpose of this annual performance report is to demonstrate the medium-term results to which DCAF support contributed in 2016. With reference to DCAF's corporate results framework, this report is structured according to the two main avenues for support to enhance the governance of national security sectors: direct support to national actors, and indirect assistance to international actors. The presentation of results that materialized along these two main avenues is complemented by results that fall into a third area of engagement: other types of activities that DCAF conducts to strengthen its role as one of the world's leading centres of expertise in the field of SSG/R and cross-cutting issues relevant to SSR.

Supporting National Partners

Ensuring the effective and accountable provision of security within a framework of democratic governance, the rule of law and human rights is an essential precondition for the peaceful and sustainable development of states in a variety of contexts. In addition, the application of the principles of good governance to the security sector is key to enhancing national and human security, as well as improving the ability of states to address new and emerging security challenges. In accordance with its core mission, DCAF continued to support partner states in their efforts to enhance the governance of their domestic 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. As in previous years, DCAF support to national partners occurred in various and diverse political and social contexts, ranging from democratic transitions to peacebuilding and post-conflict reconstruction.

Southeast Europe

DCAF continued its support to locally owned SSR processes in Southeast Europe, with the aim of contributing to the region's strategic objectives of achieving and securing regional peace, stability and Euro-Atlantic integration. Programming mainly focused on reinforcing **police reform** and regional **police cooperation**, assisting **parliaments** and other independent oversight bodies in effectively implementing their oversight mandates and ensuring accountability of the security sector, developing the capacities of **civil society** to contribute to and engage in national and regional policy debates on SSR, and fostering regional dialogue and national reforms in the field of SSG in response to new security threats and challenges affecting regional stability.

Key priorities in 2016 included the following.

- Hosting the Secretariat of the Police Cooperation Convention for Southeast Europe (PCC SEE) and supporting the contracting parties in the implementation of their legal commitments to counter transnational serious and organized crime.
- Building capacities of border police services in the Western Balkans to ensure their normative and operational alignment with European Union (EU) standards, and joint regional action to counter cross-border threats, including human trafficking.
- Supporting the Swiss Agency for Development and Cooperation (SDC) in the implementation of the Swiss Regional Police Cooperation Programme in the Western Balkans (SPCP) in the role of an intermediary body between SDC and implementing partners.

- Supporting the promotion of integrity and professionalism within police services in the region.
- Supporting enhanced parliamentary oversight of the security sector in the Western Balkans.
- Strengthening the capacity of civil society to contribute to an informed and fact-based discourse on SSG and provide input to security policy-making.

In 2016 DCAF was actively engaged in the **promotion of gender equality** across the region, in particular through the gender and justice programme in Bosnia and Herzegovina. It continued supporting initiatives on integrating gender equality into legal training and education and the development and implementation of policies, procedures and guidelines on domestic violence, sexual and gender-based harassment (SGBH) and gender bias.

Support to enhance the **accountability and regulation of private security companies (PSCs)** remained another important theme of programming in the region. In view of the lack of knowledge of the private security landscape, including gaps and challenges in PSC regulation in Southeast Europe, DCAF continued to strengthen the capacities of local civil society organizations (CSOs) to conduct research on the private security industry at regional and national levels.

Key activities by project/programme in 2016

Project/programme	Activities
Support to the Implementation of the PCC SEE	Support to convening the statutory bodies of the PCC SEE, including two meetings of the Committee of Ministers and two meetings of the Expert Working Group.
	Provision of legal and technical advice to PCC SEE contracting parties in the establishment of a new multilateral agreement introducing provisions on regional automated exchange of DNA data, dactyloscopic data and car licence plate data in the Western Balkans, to transpose the provisions of the EU Prüm Convention into the region and thereby advance the exchange of information to combat serious and organized crime and terrorism.
	Training on the development and delivery of webinars on the content of the PCC SEE.
	Organization of strategic operational meetings bringing together relevant government officials, law enforcement experts and prosecutors working on organized crime in the fields of information exchange, joint investigation teams, private data protection, forged and fraudulent travel documents, cooperation in regional migration management, counterterrorism, interoperability between law enforcement telecommunications systems and cross-border surveillance.
Border Security Programme in Southeast Europe	Support to the development of an annual strategic risk analysis document to offer guidance on planning common and coordinated cross-border police operations in the Western Balkans and support to the organization of two common (JADRAN and AVALA) and one coordinated cross-border police operation (GEMINI).
	Organization of a one-week capacity-building workshop for Moldovan officials and representatives of the national border security forces on the execution of common and coordinated cross-border police operations in line with Schengen standards.
	Organization of the Eleventh Annual Ministerial Conference on Cooperation in the Field of Border Security in Southeast Europe in collaboration with the Ministry of Security of Bosnia and Herzegovina. At this conference, Albania, Bosnia and Herzegovina and Macedonia[4] signed two important multilateral agreements developed and negotiated with the support of DCAF: on the establishment of the regional Border Sentry Early Warning System (BSEWS) for the exchange of early-warning messages between border crossings, and on the introduction of joint return-flight operations in line with EU best practice.
	Support to Ministries of Interior in the Western Balkans in conducting an ongoing self-evaluation

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[4] Referred to for all purposes within the European Union (EU), the North Atlantic Treaty Organization (NATO), the Organization for Security and Co-operation in Europe (OSCE) and the United Nations (UN) as "the former Yugoslav Republic of Macedonia".

	to assess the level of the countries' legal and operational alignment with EU standards for border management.
	Organization of an advanced train-the-trainers course for police and military trainers and education specialists, in cooperation with the Swiss Armed Forces.
	Delivery of three webinars to border security officials in the region on managing irregular migrations, counterterrorism measures at border crossings, and cross-border surveillance and hot pursuit.
	Organization of consultation meetings with Frontex and the EU Agency for Law Enforcement Training (CEPOL) to draft a multiyear integrated plan of action for the Western Balkan Border Security Initiative.
Support to the Implementation of the SPCP 2012–2016	Overall programme management on behalf of SDC, including selection and oversight of the implementation of projects funded under the framework of the SPCP that are aimed at fighting organized and serious crime through improved police cooperation in Southeast Europe.
	Provision of advisory support to SDC implementing partners to ensure effective and efficient implementation of projects under the framework of the SPCP, including guidance on articulating a common approach to RBM that integrates cross-cutting issues of SSR.
Police Integrity Building Programme	Organization of a capacity-building workshop on integrity planning and management for senior police managers in Moldova, designed to lay the foundation for the development of an integrity plan of the Ministry of Interior of Moldova.
	Organization of a regional roundtable on police integrity training in Montenegro.
	Organization of a regional roundtable on police integrity and accountability in Serbia.
	Organization of a workshop for the Ministry of Interior of Macedonia to assist in the steering of the roll-out of the Integrity Plan for Uniformed Police in Macedonia (developed by national actors in line with DCAF advice).
	Organization of two workshops in Bosnia and Herzegovina and Serbia respectively to identify local needs and challenges related to police integrity and raise awareness of Police Integrity Building Programme knowledge products and methodology among police education and training institutions.
	Delivery of a capacity-building workshop on gender dimensions of police integrity for police integrity facilitators in Montenegro.
	Delivery of a capacity-building workshop for officials of the Ministry of Interior of Moldova and police to develop in-service training capacities based on the DCAF *Training Manual on Police Integrity*.
Parliamentary Assistance in the Western Balkans Programme	Support to parliamentarians in several parliaments in the region to develop or revise security sector legislation with the aim of harmonizing legal frameworks with EU norms and standards.
	Organization of regional workshop on "Defence Budget Analysis for Parliamentary Staff Advisers and Civil Society Representatives in the Western Balkans" to develop the capacity of parliamentary staffers and CSOs in the region to review national defence budgets critically.
	Provision of advisory support to the Macedonian parliament for the formulation of a recommendations report on intelligence oversight, internal control and accountability of security and intelligence services in Macedonia.
	Launch of a regional parliamentary dialogue on the "Role of Parliaments in Overseeing Measures Implemented to Prevent and Counter Violent Extremism" in the framework of a roundtable organized in Pristina, Kosovo.[5]
	Support to build the institutional capacity of the Office of the Parliamentary Military Commissioner of Bosnia and Herzegovina and provision of conceptual advice in the preparation of the module on human rights of armed forces personnel in the framework of the annual Organization for Security and Co-operation in Europe (OSCE) Security Review Conference.
	Support to the Parliamentary Assembly of Bosnia and Herzegovina in conducting a public hearing on SSR in Bosnia and Herzegovina.
	Support to the Civil Council for Police Control of Montenegro to increase the visibility of this independent oversight institution, ensure its access to information on law enforcement and enhance public awareness on the existence of complaints handling.

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[5] The Assembly of Kosovo declared the territory's independence on 17 February 2008. While 37 member states of the DCAF Foundation recognize the independence of Kosovo as of the date of publication of this report, 25 member states do not, and continue to refer to Kosovo in the framework of UN Security Council Resolution 1244.

	Organization of workshop on "SSR in the Context of European Integration" to enable members of the Assembly of Serbia to assess and support the implementation of the action plan for Chapter 24 (Home Affairs) of the EU Acquis.
	Review practices and safeguards in the use of intrusive methods of information collection by police and intelligence services, and assessment of needs for further reforms in Bosnia and Herzegovina in the framework of a roundtable event.
Southeast Europe Civil Society Support Programme	Provision of an institutional development grant and advisory support to the Macedonian-based CSO Analytica to develop its institutional capabilities and produce a comparative study on inspection visits to the intelligence agencies.
	Provision of a research grant and advisory support to the Serbian Public Policy Research Centre to monitor the national discourse on security policies during the 2016 elections at the national and local levels in Serbia (three policy briefs drafted and data collected presented).
	Support to build the capacity of the Center of Excellence of the Ministry of Foreign Affairs of Albania to develop training on SSG/R for its staff and diplomats.
	Organization of the annual DCAF Young Faces event on "Strategic Cybersecurity Policy Development in Southeast Europe" to build the capacity of 24 young professionals from the Western Balkans and Moldova to contribute effectively to cybersecurity governance in their countries.
Private Security Research Collaboration in Southeast Europe	Organization of the fifth and sixth capacity-building workshops for researchers from CSOs in Albania, Bulgaria, Kosovo and Serbia to discuss findings and develop their joint research.
	Organization of an expert roundtable with civil society research partners on oversight and accountability of PSCs to bring together representatives from government, the private security industry, civil society and academia, international experts and globally operating PSCs from countries within and beyond the region to learn about good practices related to PSC oversight and accountability.
Gender and Justice Projects in Bosnia and Herzegovina	*Gender Bias Law School Curriculum Development:* Organization and facilitation of seven meetings of a working group comprising national law school professors, the deans of the six largest public law schools in Bosnia and Herzegovina and an international legal expert to develop a gender bias law handbook.
	Domestic Violence Benchbook Institutionalization: Organization of three one-day meetings of three working groups of judges from Bosnia and Herzegovina to identify and develop additional resources on domestic violence to complement the judicial benchbook; development of an additional resource on domestic violence, *Practice Guide: Domestic Violence – Addendum to the Judicial Benchbook: Considerations for Domestic Violence Case Evaluation in Bosnia and Herzegovina*, in cooperation with three working groups of judges from Bosnia and Herzegovina and the local CSO the Atlantic Initiative (AI).
	Gender Trainer Development: Delivery of training on domestic violence, SGBH and gender bias, as well as adult teaching methodology, to a second group of gender trainers from the Centres for Judicial and Prosecutorial Training in the Federation of Bosnia and Herzegovina and the Republika Srpska; review, revision and validation of the three one-day training curricula on domestic violence, SGBH and gender bias (developed by DCAF in partnership with AI) with the help of participants of the second rendition of the DCAF/AI gender trainer development course; delivery of one course on domestic violence and one on gender bias by gender trainers on behalf of the Centre for Judicial and Prosecutorial Training in the Federation of Bosnia and Herzegovina.
	SGBH Policy Implementation: Organization of a capacity-building workshop for newly appointed SGBH Advisors at which judges and prosecutors involved in the development of the new SGBH guidelines delivered the training for the Advisors; organization of three technical assistance workshops to SGBH Advisors within judicial institutions to provide support, maintain contact and verify their efforts to conduct orientations as well as outreach and awareness-raising activities; support to a workshop on M&E of the new SGBH guidelines in which members of the High Judicial and Prosecutorial Council (HJPC) and representatives of its secretariat participated; monitoring visits to three different courts and one prosecutor's office to track progress on the implementation of the new SGBH policy.
National Project on Consolidation of the	Provision of technical and strategic advice to the two intelligence oversight committees of the Assembly of Macedonia in the development of recommendations for the creation of a national intelligence reform project.

Intelligence and Security System in the Republic of Macedonia – INTELIGENTIA	Delivery of training in the use of advanced software for data collection and analysis to working group coordinators and members of the national intelligence reform project.

Key results at the outcome level in 2016

DCAF's support to the PCC SEE Secretariat has *contributed to contracting parties from the Western Balkans and the EU taking measures to enhance training on cross-border police cooperation.* The following points are notable.

- Police education and training institutions in both Montenegro and Bosnia and Herzegovina have started to organize and hold webinars on the PCC SEE on their own initiative following DCAF training on how to develop and deliver webinars on the content of the convention. These webinars serve as an awareness-raising tool on the PCC SEE provisions for cross-border police cooperation, as well as practical examples of how to use them and overcome possible obstacles in their implementation.
- Contracting parties to the PCC SEE conducted training courses for joint investigation teams in collaboration with the EU Agency for Law Enforcement Training (CEPOL) in 2015 and 2016, thereby transferring norms and good practices of cross-border police cooperation promoted by DCAF.

DCAF's support in the framework of the PCC SEE *contributed to contracting parties developing the necessary bilateral legal instruments to implement the convention, establishing and using new institutional structures that are in accordance with EU standards and good practices, and actively exchanging practical knowledge and information.* The following points are notable.

- Bosnia and Herzegovina and Montenegro signed an implementation agreement on cross-border surveillance in December 2015, while Albania and Macedonia signed an implementation agreement on hot pursuit in July 2016, following DCAF capacity building and advisory support at a series of bilateral exercises and expert meetings. These bilateral implementation agreements will enable the use of the cross-border tools of the PCC SEE in practice.
- Macedonia (July 2015) and Montenegro (January 2016) established fugitive active search teams (FAST) to increase the effectiveness of cross-border police cooperation following exposure to norms and good practices of cross-border police cooperation promoted by DCAF. The units in both countries have started to apply the FAST methodology.
- Law enforcement agencies of contracting parties to the PCC SEE have more frequently used the online platforms developed by DCAF for exchanging good practices, experiences and other relevant information specific to their operational fields (person-related data not included), as evidenced by the significant increase in uploads and discussions on the platforms in 2016.

DCAF's support in the framework of its Border Security Programme in Southeast Europe *contributed to national actors harmonizing normative and operational standards with EU Schengen requirements*. The following points are notable.

- At the Eleventh Annual Ministerial Review Conference on Border Security in Southeast Europe in June 2016, Macedonia, Bosnia and Herzegovina and Albania signed an agreement that allows border police services in those countries to expand the exchange of information of non-personal data and border-related incidents through the BSEWS. The decision reflects a commitment to increase the implementation of the BSEWS, which was developed with DCAF's institutional capacity-building support.
- A regional network of Police and Customs Cooperation Centres was established based on DCAF policy

advice under the auspices of an EU project led by the German Federal Police. This contributes to aligning these centres across Southeast Europe with EU standards of border and customs management.

DCAF's assistance to strengthen the institutional capacity of states in Southeast Europe to implement an integrated approach to border management under the framework of its Border Security Programme *contributed to national actors successfully organizing and executing common and coordinated police operations to fight against organized crime.* The following points are notable.

- On the basis of operational plans and an annual regional risk analysis developed with the support of DCAF, experts from beneficiary countries of DCAF's Border Security Programme planned common and coordinated cross-border police operations under DCAF guidance. In the framework of Common Operation AVALA (October 2016), which was designed to detect different cross-border criminal activities, border forces from beneficiary countries, whose operations had hitherto been restricted to land and maritime border areas, engaged for the first time in border control activities inland, from the Serbian–Macedonian border towards central Serbia, in cooperation with border forces from EU member states.
- Moldova was able to participate for the first time in the organization and execution of common and coordinated cross-border police operations following institutional capacity-building support provided by DCAF. The country's border police forces conducted border control in line with Schengen standards and shared operational results to combat regional threats to border security.

DCAF's advisory support in the framework of the SPCP 2012–2016 *contributed to the effective and efficient management of the programme, including more coherent and results-oriented monitoring that integrates cross-cutting issues such as gender, human rights and local ownership.* The following points are notable.

- Implementing partners of SDC amended their initial implementation plans based on DCAF guidance to address emerging implementation needs and challenges, which enabled them to realize planned activities within the allocated budgets and time.
- A number of SDC implementing partners strengthened their monitoring frameworks following the adoption of a common approach to results-based monitoring across all projects funded under the framework of the SPCP based on DCAF advice. For instance, the PCC SEE Secretariat developed a monitoring tool and performed its first comprehensive monitoring in 2016 to track progress towards the objective of the PCC SEE. In addition, the secretariat has started to produce concrete statistics on gender participation that provide valuable baseline data for future monitoring.

DCAF's support to develop and maintain police services that function with the highest levels of integrity and professionalism in Southeast Europe *contributed to national actors taking steps towards institutionalizing principles and concepts of police integrity in police services.* The following points are notable.

- The Ministry of Interior of Macedonia integrated e-learning courses on police integrity for police officers, police managers and the generic audience developed by DCAF into its e-learning platform. This will ensure that training institutions sustain the delivery of training on police integrity to all police personnel.
- The integrity working group established by the Ministry of Interior of Montenegro developed a training programme on police integrity for all uniformed police personnel under DCAF guidance. By the end of 2016 the working group had conducted ten training sessions and trained a total of 300 police without DCAF's assistance, thereby firmly embedding principles and good practices of police integrity and gender in the training of police in Montenegro.

DCAF's institutional capacity-building support in the framework of parliamentary assistance in the Western

Balkans *contributed to parliamentary security committees in the region playing a stronger role in the oversight of security and intelligence services.* The following points are notable.

- In 2016 the security committee of the Assembly of Kosovo, building on knowledge acquired through DCAF capacity-building workshops, introduced reporting sessions (public hearings) to assess the implementation of national rule-of-law strategies pertinent to the security sector and identify implementation challenges that require the attention of parliament. During these reporting sessions, some of the substantive questions raised by parliamentarians on issues such as intelligence-led policing, cybersecurity and the fights against terrorism and organized crime were inspired by expert discussions facilitated by DCAF in the framework of institutional capacity building.

- In late 2015 and early 2016 the Intelligence Oversight Committee of the Assembly of the Republic of Macedonia conducted its first two oversight pre-inspection visits to the Macedonian Security and Counterintelligence Service (UBK) and its Foreign Intelligence counterpart (AR) since early 2006, applying its enhanced expert knowledge and competencies acquired at joint meetings with DCAF experts.

DCAF's institutional capacity-building support in the framework of parliamentary assistance in the Western Balkans *contributed to parliamentary security committees increasing their involvement in security budget scrutiny*, which was originally seen as an exclusive prerogative of the finance and public accounts committees. The following points are notable.

- Throughout 2016 the security committees of the Assembly of Kosovo regularly approached security institutions to obtain access to budget information, in particular as regards 2016 expenditures and budget planning for 2017. In these budget review processes, members of parliament and parliamentary staffers successfully applied their enhanced knowledge and skills acquired through specialized training delivered by international assistance providers, including DCAF. Based on the review processes, the security committees formulated recommendations, which were shared with the budget and finance committees for consideration in the 2017 budget approval process.

- The Joint Committee for Defence and Security in Bosnia and Herzegovina organized a series of hearings and expert consultations on defence procurement, inspired by discussions held between different local stakeholders in January 2016 during the DCAF regional training on defence budget analysis. The committee's initiative also built on several previous DCAF capacity-building events and knowledge products addressing the role of parliament in defence budgeting, which have gradually empowered members of parliament and parliamentary advisers to engage in independent analysis of the budgeting process. Recommendations issued by the committee are currently considered within the defence procurement reform planning undertaken by the Ministry of Defence.

DCAF's longstanding promotion of norms and good practices on the democratic oversight of the security sector in the Western Balkans *contributed to parliaments in the region increasingly seeking to integrate gender and human rights perspectives into parliamentary discussions and legislative processes.* The following point is notable.

- A focal point for gender issues was appointed within the security committee of the Assembly of Kosovo in 2016, following the promotion of gender equality norms and integration of gender issues in parliamentary assistance activities undertaken by DCAF. The appointment of the focal point has translated into greater consideration of gender in the activities of the committee, built confidence in dealing with security stakeholders and increased the awareness of gender perspectives in discussions at plenary level.

DCAF's support to strengthen the capacity of CSOs in the Western Balkans to conduct research on SSG in the

region *contributed to civil society input being sought to inform intelligence reform in Macedonia.* The following point is notable.

- The demonstrated expertise of the Macedonian-based CSO Analytica in the area of intelligence governance prompted members of the two intelligence oversight committees of the Assembly of the Republic of Macedonia to approach the organization and seek advice on future reform priorities linked to parliamentary oversight of the security sector. This marks a shift in attitude among the parliamentary committees, as civil society input has traditionally not been considered in the area of SSG.

DCAF's support to a network of research organizations in Southeast Europe to produce policy research studies on PSC regulation and engage with policy-makers on oversight and accountability of the private security sector *contributed to these research organizations providing critical input to national policies on procurement and regulation of the private security industry.* The following point is notable.

- The Kosovar Centre for Security Studies organized a number of meetings with stakeholders from the Ministry of Internal Affairs, the Labour Inspectorate, the Committee on Internal Affairs, Security and Supervision of the Kosovo Security Force and PSCs to raise awareness on the private security landscape, relying on insights gained through research conducted with the support of DCAF. This is expected to contribute to improving management and oversight of the private security industry by government institutions.

DCAF's support to the institutionalization of the judicial benchbook on domestic violence case evaluation and sentencing in Bosnia and Herzegovina *contributed to several court presidents taking measures to improve the adjudication of domestic violence cases in their courts.* The following points are notable.

- The court president of Novi Travnik, who had participated in the 2015 DCAF gender trainer development course at the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina, organized and hosted a roundtable on domestic violence and used the benchbook developed with the support of DCAF as a basis for discussion on how to improve judiciary practice related to domestic violence.
- The court president of Tuzla, who had also participated in the 2015 DCAF gender trainer development course at the Centre for Judicial and Prosecutorial Training, appointed a staff member within the head of registry office to identify the application of misdemeanour proceedings in cases of domestic violence adjudicated at the court. With this decision the court president acted upon a recommendation in the benchbook. In addition, the court president initiated a working group with the president of the Criminal Division of the Cantonal Court of Tuzla and six judges from the municipal court to articulate strategies to institutionalize the domestic violence benchbook within judiciary practice, including fast-tracking cases of domestic violence, identifying pending or concluded criminal cases and applying the benchbook as an evaluative tool.
- Drawing on a recommendation in the benchbook, the court president of the district court in Banja Luka appointed a judge with specialized knowledge on domestic violence to act as a judge rapporteur in all cases of domestic violence (both criminal and misdemeanour) decided by the district court on appeal, to strengthen penal policy on domestic violence and enhance case evaluation.

The promotion of norms and good practices by DCAF in the framework of support to institutionalize the judicial benchbook on domestic violence within the judicial system of Bosnia and Herzegovina *contributed to the further promotion and institutionalization of new standards for the evaluation and sentencing of cases of domestic violence in the judiciary.* The following points are notable.

- Judges involved in working groups to identify and/or develop additional resources on domestic violence who had acquired knowledge on good practices on domestic violence case evaluation and sentencing

through DCAF's norms-promotion activities integrated those practices in the development and validation of an addendum to the domestic violence benchbook, the formulation of a series of concrete and specific recommendations to improve the judicial practice on domestic violence and the elaboration of an associated advocacy plan.

- By the end of September 2016 five of the 37 judges engaged in the working groups where they were exposed to norms and good practices promoted by DCAF had appeared before the HJPC to advocate for the endorsement of recommendations developed during working group meetings to improve judiciary practice in cases of domestic violence.

DCAF's support to gender trainers associated with the Centres for Judicial and Prosecutorial Training in the Federation of Bosnia and Herzegovina and the Republika Srpska *contributed to improved quality and content of teaching on gender perspectives in judicial proceedings, as well as to the gradual institutionalization of gender knowledge in the judiciary system.* The following points are notable.

- More than three times the number of judges and prosecutors applied to the second rendition of the DCAF gender trainer development course than to the first, which was held in 2015. Applicants noted that they were encouraged to participate because of greater awareness of their role in addressing domestic violence, SGBH and gender bias gained through DCAF norms-promotion activities.
- Gender trainers from the first rendition of the DCAF gender trainer development course applied their newly gained knowledge on domestic violence, SGBH and gender bias, along with their newly gained skills in adult teaching methodology, in the delivery of training to participants in the second rendition of the DCAF gender trainer course in 2016.
- Training workshops on domestic violence and SGBH held throughout 2015 and 2016 by trainers at the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina who had participated in the DCAF gender trainer development course received among the highest evaluation scores in the history of the training centre.
- In light of the positive evaluations of the 2015–2016 training workshops on domestic violence, SGBH and gender bias, and fuelled by the direct and prolonged advocacy efforts of gender trainers themselves, the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina agreed to hold annual training workshops on domestic violence and gender bias and organize more workshops for SGBH Advisors within the judicial institutions across the country. Such training would rely on the curricula developed by DCAF and the gender trainers trained by DCAF.

DCAF's assistance in the framework of support to implement the *Guidelines for the Prevention of Sexual and Gender-based Harassment within the Judicial Institutions of Bosnia and Herzegovina* *contributed to judges and court personnel, in their roles as gender trainers and SGBH Advisors, sharing good practices on SGBH with members of the judiciary and court personnel, and to judiciary institutions implementing those good practices.* The following points are notable.

- Six gender trainers who had taken part in the DCAF gender trainer development course participated in the development of specialized training for SGBH Advisors and subsequently delivered three one-day training workshops on good practices related to SGBH to these Advisors. In the delivery of the training workshops they successfully applied their new knowledge and skills acquired through DCAF support.
- SGBH Advisors delivered orientation sessions on SGBH at 50 per cent of courts and 42 per cent of prosecutors' offices in Bosnia and Herzegovina, drawing on the new knowledge and skills acquired through specialized training workshops delivered by gender trainers who had participated in the DCAF gender trainer development course.
- Following orientation sessions delivered by the SGBH Advisor for the municipal court of Konjic, preliminary evidence has indicated an emerging shift in attitudes among court employees, as the

number of inappropriate jokes has reportedly decreased. This is expected to contribute to a more gender-sensitive work environment in the court.

- Members of the HJPC and representatives of its secretariat adopted an initial monitoring and review plan for the guidelines on SGBH based on DCAF policy advice. The plan provides for the appointment of a point of contact for monitoring the policy, the eventual transfer of monitoring responsibilities to the ethics committee of the HJPC, and the replication of the baseline survey on SGBH in 2017 to assess changes triggered by the implementation of the new policy.

DCAF's support to the efforts of the Macedonian government to increase accountability and oversight of the country's intelligence and security system in the context of revelations of systematic interception of communications by national intelligence services without court orders *contributed to the Macedonian government taking steps towards enhancing civilian oversight of intelligence services*. The following points are notable.

- On the basis of a set of recommendations by the two intelligence oversight committees in parliament, developed with DCAF support, and in line with recommendations made by the EU-commissioned Senior Experts' Group on systemic rule of law issues relating to the communications interception revealed in spring 2015, the government of the Republic of Macedonia launched a nationally led reform project entitled INTELIGENTIA in 2016. Its objective is to increase the effectiveness, efficiency, accountability and democratic control of the intelligence services and contribute to preventing future abuses.
- Members of the four working groups of the INTELIGENTIA reform project (on technical resources, human and financial resources, business processes and legal aspects) effectively used DCAF methodology to map, analyse and assess data on the Macedonian intelligence sector, thereby identifying gaps and challenges in the governance of intelligence services. This assessment will be used by the working groups – led by the national INTELIGENTIA core project management team – to develop a concrete set of recommendations for reform.

Middle East and North Africa

Across the Middle East and North Africa region, DCAF continued to support accountability and legitimacy of security providers, enhance service delivery in line with principles of good governance and promote democracy and the rule of law, with the ultimate aim of preventing violent extremism and radicalization in the region.

In **North Africa**, the DCAF Trust Fund for North Africa (TFNA) continued to serve as an important multilateral mechanism for enhancing SSG in a rapidly evolving region that requires flexible responses to emerging needs for SSR. The TFNA is funded by a growing number of DCAF member states: Belgium, Germany, Luxembourg, the Netherlands, the Slovak Republic, Sweden and Switzerland. In 2016 the TFNA's largest operations focused on Tunisia, followed by Morocco, Libya and Egypt. DCAF assisted these countries in reforming security and justice institutions and developing transparent and accountable security sectors through improving access to information and building trust between the public and authorities.

Key priorities for 2016 in North Africa included support to the following.

- Strengthening parliamentary and/or other independent institutions' oversight of the security sector in Morocco and Tunisia.
- Institutional reforms to enhance the legitimacy and service delivery capacity of the Ministry of Interior, police, prison administrations and other criminal justice institutions in Tunisia.
- Support to the implementation of the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment and other human rights treaties in Morocco and Tunisia.
- Professionalizing the crisis communication of the Tunisian Ministry of Interior.
- Enhancing public access to information about the security sector in Egypt, Libya and Tunisia.
- Building the capacity of media to play a constructive role in security sector oversight in Tunisia.

In the **Middle East**, DCAF's largest country programme was implemented in the occupied Palestinian territories, while efforts were made to expand the country programme in Lebanon. In 2016 key priorities in the Middle East included the following.

- Support to the development of a sound legal and policy framework for SSG in the occupied Palestinian territories.
- Support to the development of effective and efficient complaints mechanisms to allow Palestinian citizens to register their complaints against security forces.
- Capacity building for members of community safety councils at the governorate level and development of strategic plans for inclusive security provision.
- Promotion of gender equality in the Jordanian armed forces.
- Enhancing the external communication of the Lebanese Ministry of Justice.
- Support to the national reconciliation process in the occupied Palestinian territories.

Moreover, DCAF worked towards assisting the rebuilding of systems for SSG in Yemen and Syria following the potential cessation of active hostilities. In 2016 DCAF also contributed to a regional process of security dialogue with a focus on preventing, managing and resolving conflicts in the wider Middle East.

Key activities by project/programme in 2016

Project/programme	Activities
Support to Independent Oversight of the Security Sector through DCAF's Online Security Sector Observatories, Marsad, in Egypt, Libya, the Occupied Palestinian Territories and Tunisia	Comprehensive redesign of all Marsad websites to improve user experience and accessibility.
	Selection and publication of articles on security sector developments in Arabic, English and French on a daily basis (nearly 7,000 articles in 2016), enabling some 200,000 visitors to gain information about their respective national security sectors in 2016.
	Official launch of Marsad Palestine during a high-level event in Ramallah in May 2016.
	Development of a new statistics section and thematic folders for Marsad Tunisia and Marsad Libya, providing public access to topical research.
NATO Trust Fund III Jordan – Enhancing the Role of Servicewomen in the Jordanian Armed Forces	Conducting an assessment of the status of servicewomen in the Jordanian armed forces and developing a report, with the aim of supporting the articulation of a three-year action plan building on the findings of the assessment report.
Enhancing the External Communication of the Lebanese Ministry of Justice	Development of a new website for the Ministry of Justice and publication of key legal texts relating to the Lebanese security sector.
Libyan Legal Database	Publication of approximately 400 additional legal texts on the Libyan security sector to provide a comprehensive picture of the legal framework for SSG.

	Publication of the Libyan Penal Code and Criminal Procedure Code in their applicable versions, including all amendments, and publication of the legal texts in their first openly accessible English translation.
	Development of a comprehensive thematic folder, which includes over 100 legal texts, providing an overview of the Libyan legal framework for border management and irregular migration in relation to relevant international standards and good practices.
	Technical improvement of the website to provide links between texts of by-laws, repealing and repealed texts and amendments.
Strengthening Personal Data Protection in the Security Sector in Morocco	Support to the Moroccan authority for personal data protection in the organization of an open side event on "Personal Data Protection in the Security and Defence Sector" at the Thirty-Eighth International Privacy Conference in Marrakesh.
Support to the Development of a Basic Law for the Palestinian Security Forces	Organization of nine workshops and consultation meetings with a total of 100 Palestinian stakeholders representing political parties, security forces, legislative bodies and civil society to formulate a vision statement on the need for an overarching law that defines the roles and responsibilities of the security forces.
	Organization of eight workshops bringing together a total of 350 residents from local communities in the West Bank and the Gaza Strip, CSOs, and legal and security experts to develop a legislative policy paper.
	Preparation of a television programme to promote the vision statement and legislative policy paper (both developed by national partners) among the Palestinian public.
Support to the Development of a Police Law for the Palestinian Civil Police	Expert review of the draft law for the Palestinian Civil Police.
	Organization of a roundtable discussion with the legal adviser to the president of the Palestinian National Authority on the shortcomings of the draft law, in particular with regard to international standards, in Geneva.
	Organization of a public consultation on the draft law with key stakeholders, including the security forces, legislative and executive bodies and civil society.
	Organization of a national conference, in collaboration with the EU Coordinating Office for Palestinian Police Support (EUPOL COPPS), to present final comments on the draft law to key stakeholders of the security forces, legislative and executive bodies and civil society, and the legal adviser to President Abbas.
Strengthening the Strategic Planning Capacities of the Palestinian Ministry of Interior	Delivery of a three-week training course on strategic management, planning and risk management to senior staff and directors of the Ministry of Interior at the governorate level.
	Support to the development of the Palestinian three-year strategic security plan.
Developing the Capacities of the Criminal Justice System in Gaza	Delivery of three training courses on modern standards of criminal justice and torture prevention to a total of 90 civil and military judges, public prosecutors and management staff in the Directorate General of Correction and Rehabilitation in Gaza.
	Organization of the second annual conference on the criminal justice system, "Between Crime Prevention and Torture Prevention", in Gaza, bringing together 350 participants representing different key stakeholders, including senior officials from judicial authorities and the security forces.
Developing a Modern Palestinian Military Justice System	Review of the military justice draft law to assess its conformity with international standards, including the development of recommendations.
Improving the Healthcare System in Palestinian Detention Facilities	Development of recommendations based on prison visits conducted by an international expert contracted by DCAF.
	Support to a working group on healthcare provision in detention facilities that comprises the Ministries of Health, Foreign Affairs and Interior, the Palestinian Independent Commission for Human Rights and the Gender Consultative Committee, as well as international actors such as the International Committee of the Red Cross (ICRC).
Strengthening Citizens' Complaints Mechanisms in the Occupied Palestinian Territories	Organization of a study visit for senior executive officials responsible for complaints handling to Serbia to learn about international best practice.
	Development of a working paper, "The Complaint-Handling System and Civilian Oversight of the Palestinian Security Sector", which analyses coordination among complaints units and the role of civil society and media in the complaints system.
	Development of five procedure guidelines on complaints handling for various actors of the Palestinian complaints system, including the Council of Ministers, the police and the

	Independent Commission on Human Rights.
	Assistance to the Directorate General for Complaints at the Council of Ministers in reviewing the complaints legislation.
	Review of the new regulation on complaints of 2016 (developed by national actors following DCAF advisory support) with a view to strengthening international standards for ombuds institutions.
	Development and broadcasting of three television and three radio spots to inform citizens on how the complaints system works.
Enhancing Community Safety Provision in the Palestinian Governorates of Jenin, Hebron, Bethlehem, Tulkarem and Ramallah/Al-Bireh	Assistance to members of the community safety councils in the Governorates of Tulkarem and Bethlehem to develop local community safety strategies.
	Delivery of three training courses on community safety for personnel of each of the five governorates, covering best practices and mechanisms, alternative dispute resolution and public communication.
	Awareness raising on community safety among Palestinian citizens through regular broadcasting of six 40-minute radio episodes and one one-minute radio drama episode over the course of two months.
Strategic Advice to the Governorate of Ramallah/Al-Bireh	Development of a needs assessment report that examines strengths and weaknesses in the provision of services by the governorate. The report includes recommendations for enhancing strategic planning and clarifying the roles and responsibilities of the governorate.
	Organization of a national conference to submit the needs assessment report officially to the governor.
	Awareness raising on the authority of the governorate, responsibilities and citizens' rights, in particular in the provision of security, through 20 workshops with citizens across the governorate.
Developing the Monitoring and Investigative Capacities of Palestinian Media	Development of a strategy for investigative journalism with two Palestinian media outlets.
	Training of 15 journalists on investigative journalism and assistance in creating two investigative video reports on the security sector.
	Organization of three closed-door confidential exchanges between communication officers from the Palestinian security forces and journalists to create mutual trust and improve coordination.
	Delivery of a training course on information sharing with the media and citizens to 20 communication officers from the Palestinian security forces.
Support to the Tunisian Authorities on Good Intelligence Governance	Provision of advice and documentation to the Presidency of the Government of Tunisia during three roundtables and several other meetings.
Support to the Establishment of a Legal Database on Security Sector Legislation in Tunisia	Launch of a new version of the legal database to improve user friendliness and accessibility of content, which increased the number of visits from 410 (January–August 2016) to 469 (August–December 2016) and the average time spent by visitors on the website by approximately 75 per cent (January–August 2016 as compared to August–December 2016).
Support to the National Women's Police Association in Tunisia	Support to develop the capacity of the National Tunisian Women's Police Association to formulate a strategic plan, raise funds for operational activities and implement projects aimed at integrating gender perspectives into SSG.
Support to the Adoption of Special Interview and Interrogation Techniques for Children among Tunisian Law Enforcement Agencies	Assessment of the internal security forces' current procedures and practices with regard to interrogation of minors in cooperation with the Tunisian Ministry of Interior.
Strengthening the External Communication of the Ministry of Interior of Tunisia	Training personnel of the future crisis communication cell within the Ministry of Interior.
Creating the Platform "Understanding Criminal Justice in Tunisia"	Development of an electronic platform that provides information on the Tunisian criminal justice system in a simplified and easily comprehensible manner to increase public understanding of the organization and functioning of the system, and increase both litigants' and victims' knowledge of their rights and duties. The platform will be launched in 2017.
Support the Prison	Support to the Direction Générale des Prisons et de la Rééducation (DGPR) to establish a working group on penal statistics to be responsible for improving the exploitation and use of

	statistics in collaboration with the Bureau Central de Statistiques (established in December 2015 following DCAF support).
Administration, the Direction Générale des Prisons et de la Rééducation, to Improve the Production and Publication of Penal Statistics in Tunisia	Delivery of two training workshops for 16 members of the working group on penal statistics, composed of focal points and the director of the Bureau Central de Statistiques, on the use of penitentiary data for strategic planning.
Strengthening the Capacities of the Tunisian Authorities to Fight against Torture and Ill Treatment	Support to sessions held by the working group of Tunisian forensic doctors and magistrates formed to develop a draft manual for the standardization of processes related to the investigation and documentation of alleged cases of torture and ill treatment.
	Delivery of training to members of the Instance Nationale de Prévention de la Torture on the Office of the UN High Commissioner on Human Rights *Manual on the Effective Investigation and Documentation of Torture and Cruel, Inhuman or Degrading Treatment or Punishment* (Istanbul Protocol) and medico-legal aspects of their work.
	Development of a working paper and recommendations for strengthening the collection and use of forensic evidence in investigations of alleged cases of torture and ill treatment.
Developing the Capacity of Tunisian Journalists to Cover Issues Related to SSG/R	Delivery of training workshops to enhance journalists' capacity to cover security sector issues and precisely identify small arms and light weapons (SALW) and their origin, in collaboration with the Small Arms Survey, in the regions of Sousse, Djerba, Kasserine, Gafsa and Tunis.

Key results at the outcome level in 2016

DCAF's support to improve civilian oversight and accountability of the security sector through the establishment of an online legal database of Libyan security sector legislation has *contributed to legal practitioners in Libya using the database to enhance SSG*. The following point is notable.

- Members of legal faculties at universities, the National Audit Institution of Libya and legal departments within public entities used the legal database developed by DCAF as a resource in the delivery of legal education, the performance of financial and compliance audits of security institutions and the identification of relevant human rights legislation.

DCAF's support to key stakeholders in the Palestinian security sector *contributed to locally developed policy documents that are aimed at informing the drafting of a basic law for all security forces*. The following point is notable.

- A wide variety of governmental and non-governmental actors drafted a vision statement and a legislative policy paper providing concrete suggestions for the law's content, drawing on DCAF expert advice. The paper will serve as a critical resource for the development of an overarching legal framework for all Palestinian security forces.

DCAF's support to strengthen the regulation of the Palestinian security sector *contributed to the revision of the draft law on police and increased promotion of the civilian status of the Palestinian police by other bilateral and multilateral donor agencies*. The following points are notable.

- The Office of the President initiated a process to amend draft legislation defining the roles and responsibilities of the Palestinian police to align the law more closely with international standards, based on DCAF advice provided to the legal adviser to President Abbas.
- A number of international actors, including EUPOL COPPS, have started to call for the need to establish the civilian status of the Palestinian police, based on DCAF's assessment of the draft law on police.

DCAF's support *contributed to more effective and coordinated citizen complaints mechanisms in Palestinian security institutions*. The following point is notable.

- The Palestinian Council of Ministers adopted a new regulation on citizen complaints in September 2016 based on a legal review and drawing on the findings of consultation meetings conducted by DCAF. The new regulation is also partially in line with recommendations to improve complaints mechanisms proposed in a working paper, "The Complaint-Handling System and Civilian Oversight of the Palestinian Security Sector", that DCAF published in partnership with the complaints-handling platform.

DCAF's support to the Governorate of Ramallah/Al-Bireh *contributed to initial reform efforts by the authorities to enhance the provision of security services, in line with principles of good governance*. The following point is notable.

- The governorate has used the DCAF assessment report on the organizational and international performance and capabilities of the governorate as a guideline to reform its policies. The governorate initiated internal reform processes to improve information sharing and assess the impact of its projects and public relations policies.

DCAF's advisory support *contributed to Tunisian authorities establishing an intelligence coordination mechanism at the government level*. The following point is notable.

- The Tunisian government created a national intelligence centre (Centre National de Renseignements), drawing on the expert advice and documentation that DCAF provided to the Presidency of the Government of Tunisia during three roundtables and several other meetings. The centre is responsible for the development of a national intelligence strategy, as well as ensuring more effective coordination of operations conducted by the various intelligence services within different ministries.

DCAF's support *contributed to more effective internal and external communication of the Ministry of Interior of Tunisia*. The following points are notable.

- The Ministry of Interior has introduced several new communication tools based on DCAF advisory support, such as an official website and a Twitter page, which serve as vehicles for communication with both external and internal audiences. In addition, the ministry has improved its cooperation with the media by interacting more regularly with journalists through press conferences. These measures are a crucial step towards building public trust and increasing transparency.
- The ministry has significantly expanded the human resource base of its Information and Communication Office to ensure effective use of the new communication tools recommended by DCAF. As of 2016 the office had 15 members, while at the start of DCAF's engagement with the Ministry of Interior in 2011 there was only one person responsible for communications.

DCAF's support to centralize the production, analysis and communication of penal statistics in Tunisia *contributed to the development of new institutional structures for the management of penitentiary data that facilitate evidence-based decision- and policy-making*. The following point is notable.

- The Bureau Central de Statistiques was created within the DGPR in December 2015 following DCAF awareness raising on the vital role that penitentiary data play in the strategic management of the penitentiary system. The bureau is closely connected to the Unité de Planification Stratégique, which reflects the importance that the authorities ascribe to penal statistics in the strategic management of the penitentiary system.

DCAF's support to strengthen the capacity of Tunisian authorities to fight against torture and other forms of ill treatment *contributed to national actors trained by DCAF providing critical input on steps to be taken to combat impunity and enhance prison conditions*. The following point is notable.

- A group of Tunisian forensic doctors and magistrates developed a set of recommendations for the

Ministries of Justice and Health on how to fight torture and ill treatment in detention facilities, applying their enhanced knowledge and skills acquired through previous DCAF training on the Istanbul Protocol. These recommendations were subsequently compiled in a working document with the support of DCAF.

DCAF's support to strengthen the capacity of Tunisian journalists to report on issues related to the security sector as well as the trade in SALW in North Africa *contributed to increased quality of media coverage on security issues in Tunisia*. The following point is notable.

- Journalists who had participated in DCAF training courses published a number of articles on issues such as terrorism, the failure of Tunisian security forces to combat cattle raiding in rural regions and the historical taboo of the attempted *coup d'état* in 1962 in a variety of local media outlets. In the development of this material the journalists successfully applied their new knowledge and skills in the area of investigative journalism and SSG.

Sub-Saharan Africa

In 2016 DCAF continued to build on past achievements in support to SSR processes in the context of democratic transitions and national peace processes in sub-Saharan Africa, as well as to advance its work on thematic priorities, such as gender mainstreaming and private security governance.

In geographic terms, **West Africa and the Sahel** remained the priority subregions for DCAF's assistance, with emphasis on Liberia, Mali, Niger, Nigeria and Senegal. Alongside support to national actors in the region, DCAF maintained cooperation with the Economic Community of West African States (ECOWAS) to contribute to the promotion of security, development and the rule of law. Among the key priorities and areas of focus in 2016 were the following.

- Support to implement the peace process in Mali.
- Strengthening internal oversight mechanisms of the police in Niger.
- Promotion of gender equality in security institutions in Mali, Niger, Liberia and Senegal.
- Support to private security regulation in Liberia and Senegal.
- Support to the implementation of the SSG/R framework of ECOWAS.

Beyond West Africa, DCAF laid the foundation for support to internal oversight mechanisms of the police in Madagascar, which joined the DCAF Foundation Council in 2015.

In 2016 DCAF formalized cooperation with the Institute for Peace and Security Studies at Addis Ababa University in Ethiopia. The two bodies share common objectives of supporting good governance of the security sector in Africa. The institute, through its mandate as an institution of learning, professional exchange and action-oriented research, has established innovative partnerships with significant continental and regional organizations in Africa, as well as a variety of representatives from governments, civil society and other stakeholder groups. This framework for collaboration will enable DCAF to work more closely with local actors to support national, regional and continental African actors and institutions in enhancing the governance of the security sector, in particular the private security industry.

DCAF further expanded its assistance on two important thematic priorities of programming in the region: the **accountability and regulation of PSCs**, and **gender equality**. DCAF continued to support national regulatory processes and reinforce the role of civil society in performing independent oversight of the private security industry in the region. In addition, DCAF established the parameters for future support to address security and human rights challenges related to the extractives sector across Africa. DCAF also continued active support to projects in the region that had a focus on promoting gender equality in the security sector. In the area of gender, DCAF supported the mainstreaming of gender equality initiatives, as well as efforts to encourage women's participation in border communities.

DCAF continued to strengthen its partnerships with international, regional and subregional actors and institutions involved in SSG/R in the region. In particular, DCAF provided technical assistance to the African Union (AU) in the implementation of its SSR strategy, as well as supporting ECOWAS. Moreover, DCAF continued to work closely with the African Security Sector Network, with a focus in 2016 on supporting, in cooperation with the Open Society Foundation, an exchange of lessons on challenges and entry points for the promotion of SSG in Africa.

Key activities by project/programme in 2016

Project/programme	Activities
Private Security Governance Observatory in Francophone Africa	Creation of an online platform that collates resources relevant to the regulation and oversight of private security services and fosters exchange among interested stakeholders.
	Delivery of two workshops in Dakar, Senegal, to clarify the international framework of good practices applicable to PSCs, set up a regional network of CSOs to oversee the private security industry and present the present state of and challenges to PSC regulation in the region.
Human Security and Women's Participation in Border Communities of Liberia Programme	Delivery of one Level 1 training course on gender and SSR to community-based organizations, community leaders and local security providers in Grand Cape Mount and Bong Counties.
	Delivery of one Level 2 training course on the role of women and civil society in the context of human security and SSG at the community level to community-based organizations, community leaders and local security providers in Grand Cape Mount, Bong, River Gee and Grand Gedeh Counties.
	Recoding of a radio talkshow and spot messages that were broadcast for six months in Nimba, Lofa, River Gee and Grand Gedeh Counties.
	Delivery of one awareness-raising workshop on gender, SSR and security challenges at the county level to community-based organizations, local officials, traditional authorities and local security providers in Nimba, Lofa, Grand Cape Mount, Bong, River Gee and Grand Gedeh Counties.
	Organization of community dialogues to address security challenges at the county level that brought together community-based organizations, local officials, traditional authorities and local security providers in Nimba, Lofa, Grand Cape Mount, Bong, River Gee and Grand Gedeh Counties.
Support to the Ministry of Security and Civil Protection (MSCP) in Mali	Compilation of over 300 laws, policies and other legal documents in electronic and printed form that define the roles and responsibilities of the MSCP and the different security institutions in Mali.
	Support to the upload of the compilation of the MSCP's legal and normative framework to its website and the website of the Gendarmerie Nationale.
	Provision of recommendations on how to close gaps and address shortcomings of the normative and legal framework of the MSCP (on the basis of the compilation).
Supporting the Gender Survey of the Security Sector in Mali	Conducting a series of bilateral meetings for the submission of recommendations on gender formulated during the launch of the gender survey in Bamako in 2015 to all participating security institutions as well as the coordinator of the National Committee on SSR in Mali.
Support to the Ministry of Interior, Public Security, Decentralisation and	Training of 22 police trainers on the code of conduct and adult teaching methodology.
	Delivery of eight sensitization workshops on the code of conduct for police that covered a total of 400 police personnel at management level in Niamey and Niger.

Customary Religious Affairs in Niger to Improve the Governance of the Security Sector	
Mainstreaming Gender Equality in the Senegalese Armed Forces	Organization of a workshop with the Ministry of Armed Forces Directorate of Studies and Legislation Control, in collaboration with the Ministry of Women, Family and Children Directorate for Gender Equity and Equality, to sensitize key individuals within the Ministry of Armed Forces, the military and the gendarmerie on the objectives of the Sectoral Gender Strategy of the Ministry of Armed Forces. The workshop was also used to complete a needs assessment aimed at identifying gaps in the implementation of the two priorities of the sectoral gender strategy: institutionalizing gender training, and creating gender desks and divisions within the armed forces and the gendarmerie.
	Publication of the revised edition of a gender training manual and code of conduct, as well as a ministerial brief to support the implementation of the sectoral gender strategy.
Integrating Gender Equality within the Sierra Leone Police	DCAF's support to the gender unit of the Sierra Leone police was suspended due to a lack of funding for this project in 2016.

One project focused specifically on sub-Saharan Africa but involved assistance to a multilateral organization in the region. For an overview of activities and outcomes achieved under this project in 2016, see the relevant section on assistance to international partners.

- **Support to the Development of the ECOWAS** *Toolkit for Security Sector Reform and Governance in West Africa* (pp. 38–39).

Key results at the outcome level in 2016

DCAF's support to strengthen the role of women in the governance of the local security architecture in Liberian border communities *contributed to enhanced participation of women in security dialogue at the community level and first steps to integrate gender in the delivery of security services*. The following points are notable.
- The town chief of Gbendin decided to invite an equal number of men and women representing the town to a district council meeting following DCAF training on gender and security. This has encouraged more women to come forward and participate in decision-making in the town.
- Women from Vahun District successfully advocated for the assignment of a female police officer to their district, drawing on DCAF capacity-building support to strengthen women's involvement in the governance of security.

DCAF's support to multistakeholder dialogues in Liberian border communities that brought together community-based organizations, traditional authorities, local officials and security providers *contributed to increased cooperation among those actors and decisions being taken to improve the management and provision of security at the local level*. The following points are notable.
- Discussing challenges arising from the overlap between penal and customary law, police and traditional leaders in River Gee County came to an agreement that traditional leaders should refrain from interfering in arrests.
- Border security forces in Lofa County have become more open to working with the Mano River Women in Peace Network's border monitor. The border security forces started inviting the community-based organization to cross-border meetings and were more forthcoming about sharing information.
- A town chief in Lofa referred a case of domestic violence to police rather than solving the dispute in the

- traditional way, indicating increased confidence in local police as a result of exchanges that were supported by DCAF.
- Participants of the community dialogue that was supported in Grand Gedeh agreed to re-establish a community taskforce on child protection because they perceived violence against youth and road insecurity as being on the rise. The local stakeholders believe that the taskforce is an appropriate vehicle for addressing these problems.

DCAF's support to the MSCP of Mali in the compilation of laws and other legal documents that circumscribe the ministry's mandate *contributed to civil society using this body of legal texts that define the roles and responsibilities of the MSCP as a resource for research on the legal framework of the Malian security sector.* The following point is notable.
- The CSO Alliance pour Refonder la Gouvernance en Afrique (ARGA Mali) used the compilation of the legal foundation of the MSCP's mandate to produce a mapping study to identify weaknesses in the legal architecture of the security sector, with a view to informing national SSR processes and establishing a solid basis for security sector oversight by CSOs.

DCAF's capacity-building support to researchers of different security institutions in Mali in the development of a gender survey of the security sector in the country *contributed to increasing representation of women in selected security institutions.* The following point is notable.
- One of the researchers from the security institutions who contributed to the gender survey subsequently participated in internal decision-making on recruitment and was able to advocate successfully for a higher gender quota in the recruitment of new personnel for the Civil Protection Services of Mali. With 100 out of the 500 new recruits being women, the Civil Protection Services recruited the highest number of women in its history in the latest recruitment campaign.

DCAF's capacity-building support to CSOs in Mali *contributed to CSOs providing critical input to national SSR processes.* The following points are notable.
- ARGA Mali effectively applied the skills and knowledge acquired through DCAF's technical assistance in the development of a report identifying gaps and limitations in the legal framework governing the management and provision of internal security. As part of the research for this publication, the CSO also drew on DCAF's compilation of legislation on the security sector in Mali.
- The Malian branch of the West African Network for Peacebuilding (WANEP), the Institut Malien de Recherche – Action pour la Paix and the Forum des Organisations de la Société Civile du Mali have successfully partnered with professional training schools in the delivery of initial training for security forces, including personnel of the gendarmerie, police and national guard, building on access to those institutions facilitated through DCAF support. The three CSOs jointly delivered modules on the role of civil society in security provision and oversight, applying the knowledge and skills acquired or enhanced through DCAF training.
- WANEP, the Institut Malien de Recherche – Action pour la Paix and other organizations included SSR-related recommendations in the advocacy statement delivered on behalf of Malian civil society at UN headquarters in November 2016. When formulating these recommendations, they integrated knowledge acquired through DCAF capacity-building workshops.

DCAF's capacity-building support for police trainers at the National Police Academy in Niger *contributed to police trainers effectively promoting standards for professional behaviour and ethical conduct in the delivery of training to police officers across the country.* The following point is notable.
- Police trainers trained by DCAF successfully applied their increased knowledge on the code of conduct

for police, which was developed with the support of DCAF, as well as their enhanced skills in the area of adult teaching methodology in the delivery of training to police officers at regional training centres. This is expected to contribute to improved interaction between police and the public and increased internal accountability.

Eastern Europe/South Caucasus/Central Asia

Across the nations of the former Soviet Union, DCAF continued to support reforms aimed at increasing accountability and transparency in security sector management, in close cooperation with parliament, civil society, government, ombuds institutions, defence and law enforcement institutions and regional and international organizations.

Among the 2016 key priorities and areas of focus for programming in the region were the following.

- Facilitating access to information on the security sector and fostering public dialogue on SSG/R through support to the development of a web-based platform in Ukraine.
- Support to police reform in Armenia, including support to mainstream gender in the police services.
- Support to enhance the oversight of the armed forces in Ukraine and Tajikistan.
- Strengthening the role and capacity of independent oversight institutions, including ombuds institutions, civil society and the media, in Georgia, Tajikistan and Ukraine.
- Support to ensure the effective implementation of the Council of Europe Convention on preventing and combating violence against women and domestic violence (Istanbul Convention) by the Ukrainian criminal justice system.
- Support to build integrity and prevent corruption in defence and security institutions in Ukraine.
- Support to strengthen the capacity of parliaments to oversee and legislate on the security sector in Georgia and Ukraine.

In **Eastern Europe**, Ukraine remained the focus of a number of projects designed to strengthen the democratic governance of the security sector, which involved close cooperation with parliament, ombuds institutions and civil society in their role as formal and informal oversight bodies. Moreover, in the context of the development of effective and accountable civilian institutions for mine action, DCAF continued its support to strengthen the capacity of multiple stakeholders to shape policy related to humanitarian mine action – including unexploded ordnance (UXO) and explosive remnants of war (ERW) – in cooperation with the Geneva Centre for Humanitarian Demining (GICHD) and the OSCE Project Coordinator in Ukraine (PCU).

At the same time, DCAF continued to implement activities aimed at enhancing SSG in the **South Caucasus**, with an emphasis on Armenia and Georgia. In Armenia, DCAF continued its work to improve police interaction with democratic institutions and civil society, enhance transparency and accountability of the police, and mainstream gender in policy frameworks and policing practice. In Georgia DCAF sought to develop the long-term capacity of the Office of the Public Defender to perform effective oversight of the security sector through an initial development of guidance products on the monitoring of security institutions for training the Security Sector Unit within the Office of the Public Defender.

In 2016 programming in **Central Asia** included cooperation with ombuds institutions, civil society and security institutions, with Tajikistan being the main partner country in the region. In Tajikistan, DCAF further contributed to enhanced transparency and accountability of the armed forces through support to CSOs assisting the national human rights ombuds institution in conducting monitoring visits to military facilities and elaborating recommendations to enhance respect for human rights within the armed forces. In parallel to ongoing operations in Central Asia, DCAF also engaged in assessing the feasibility of, and demand for, further democratic governance programming in the region.

Moreover, DCAF sustained its support to integrate gender perspectives into the delivery of security services and security sector policies in the region, in particular in the framework of assistance to police reform in Armenia, in collaboration with the OSCE field office in Yerevan, and support to the Ukrainian judiciary system to build its capacity to respond effectively to domestic violence.

In 2016 DCAF maintained close cooperation with OSCE field offices in Armenia, Kyrgyzstan and Ukraine and close relations with the North Atlantic Treaty Organization (NATO) liaison offices in the region, as well as with a variety of United Nations (UN) agencies.

Key activities by project/programme in 2016

Project/programme	Activities
Armenia: Law Enforcement Reform Programming	Organization of a roundtable on best practice in public order maintenance with representatives of the Armenian police and CSOs working on policing issues.
	Delivery of two workshops on equal rights and equal opportunities in policing (gender equality framework in Armenia) for mid-level management personnel and human resource and education specialists within the Armenian police.
	Conduct of a preliminary assessment to identify police readiness (policy, infrastructure, training, internal oversight, organizational culture) to integrate equal rights and opportunities for men and women within the Armenian police.
	Delivery of a four-day training programme on human rights in public order management and human resource management for officers of the Armenian police.
	Facilitation of a working visit for high-ranking representatives of the Armenian police to DCAF, in cooperation with the OSCE office in Yerevan, to discuss implications for the annual work plan.
Georgia: Capacity Development Workshops for Parliamentarians on Democratic SSG	Organization of capacity-building workshops on defence reform and SSR, military service reform, defence integrity building and challenges to integrity building in defence institutions, and state security service reform for members of parliament, government officials, representatives of security institutions, the national ombuds institution, civil society and media, in cooperation with the non-governmental organization (NGO) Civil Council on Defence and Security.
Georgia: Monitoring Tools and Training Materials Development for the Office of the Public Defender	Development of monitoring tools for the personnel of the Office of the Public Defender.
Georgia: Building Integrity Defence Reform Programming – Promoting Dialogue and Cooperation between Security Sector Institutions, Parliament and CSOs	Organization of a series of workshops to raise awareness on challenges and opportunities of integrity building in defence and security institutions among officials of the Ministry of Defence, CSOs and representatives of international organizations, in cooperation with the NGO Civil Council on Defence and Security.
Georgia: Support to the Ministry of Defence in Developing New Procedures for	Facilitation of a workshop to develop a set of procedures that outline how to register and handle complaints about unacceptable behaviour, including bullying, sexual discrimination, sexual harassment, domestic violence and sexual abuse, in collaboration with UN Women.

Registering and Handling Complaints about Unacceptable Behaviour	
Tajikistan: Monitoring Human Rights in the Armed Forces	Continued support to the NGO TCH Daftari Ozodihoi Sharavandi to assist the Tajik ombudsman in conducting human rights monitoring visits to military installations across the country.
Ukraine: Information and Monitoring Tool on SSR 2015–2017	Organization of eight multistakeholder conferences on transparency and accountability of security services attended by more than 200 different participants, including national and international experts, parliamentarians, and representatives of the Ukrainian government, security institutions, academia, civil society and media, as well as delegates from international organizations.
	Development and publication of a survey on public perceptions of security provision, needs and priorities for reform, as well as challenges to SSR.
	Launch of a comprehensive website that provides public access to data on the security sector and relevant cooperation programmes, including a library of best practices for SSG and a compilation of laws and instruments relevant to security sector oversight.
Ukraine: OSCE PCU and Verkhovna Rada Conference on National Models of Democratic Control of Security and Defence Sectors and Draft Law on Democratic Control	Coordination on and facilitation of two multistakeholder conferences on improving civilian control of defence and security institutions that brought together parliamentarians, national and international experts, representatives of the Ukrainian government, security institutions, civil society and media, scholars and delegates of international organizations, in collaboration with the OSCE PCU.
	Facilitation of a study visit of a Ukrainian delegation including members of parliament (Verkhovna Rada) and officials of the Ministry of Defence to the three Geneva centres (DCAF, GICHD and the Geneva Centre for Security Policy [GCSP]) in cooperation with the OSCE PCU.
Ukraine: Reintegration Assistance via the NATO–Ukraine Military Career Transition Programme, Phases 1 and 2	Development of a report/discussion paper on strategy and policy questions to assist the Ukrainian Ministry of Defence in the development of a sustainable and effective resettlement programme for military personnel returning to a civilian career.
Improve the Criminal Justice Sector Response to Domestic Violence and Violence against Women in Ukraine – Phase I: Assessment of the Readiness of the Criminal Justice Sector to Implement the Istanbul Convention	Collection of available administrative data and victimization surveys, direct observation of court hearings, analysis of court decisions, dissemination of questionnaires among police officers, prosecutors and judges, in-depth interviews with criminal justice practitioners and professionals working in the field of domestic violence and violence against women, and analysis of calls received by the national hotline for domestic violence to develop a needs assessment report on the capacity of the criminal justice system to implement the Council of Europe Convention on preventing and combating domestic violence and violence against women, in partnership with the NGO La Strada Ukraine.
	Support to the National School of Judges of Ukraine in the development of a training curriculum on domestic violence for judges and facilitation of meetings of the National School of Judges working group established to develop the curriculum in partnership with La Strada Ukraine.
	Organization of a five-day study visit to Bosnia and Herzegovina for ten members of the Ukrainian working group to facilitate exchanges with judiciary working groups on gender in Bosnia and Herzegovina.
Ukraine's Security Governance and Humanitarian Demining, UXO and ERW Challenges	Organization of a policy workshop in cooperation with GICHD on mine action strategy to develop the capacity of Ukrainian institutions and agencies to reflect best international practice.

Two projects/programmes focused specifically on Eastern Europe, the South Caucasus and Central Asia but involved assistance to a multilateral organization in the region. For an overview of activities and outcomes achieved under these projects/programmes in 2016, see the relevant section on assistance to international partners.

- **Building Integrity (BI) – Defence Management and Anti-Corruption Cooperation via NATO BI Platforms** (p. 37).

- **NATO Parliamentary Assembly Cooperation** (p. 37).

Key results at the outcome level in 2016

DCAF's support to develop a monitoring and information tool on SSR in Ukraine *contributed to more inclusive and participatory reform efforts that are responsive to public needs and priorities*. The following point is notable.

- The promotion of norms and principles underpinning the democratic governance of the security sector by DCAF at a series of national multistakeholder workshops in Ukraine paved the way for increased cooperation between the government, security institutions and civil society. The government began actively using these workshops to encourage public discussion on security-sector-related policies with a broad range of representatives of civil society.

Joint support delivered by DCAF and GICHD *contributed to strengthening policies related to humanitarian mine action strategy in the context of the democratic governance of the security sector in Ukraine*. The following point is notable.

- National stakeholders reviewed various action plans addressing humanitarian mine action, UXO and ERW, in addition to a commentary on draft legislation related to humanitarian mine action, drawing on DCAF advisory support provided in previous years.

Asia–Pacific

In 2016 DCAF further contributed to the improvement of SSG in Southeast Asia. DCAF's support in the region primarily involved the promotion of good SSG and the facilitation of SSR processes through multistakeholder dialogue, policy-guided research and capacity building for security providers as well as independent oversight bodies such as parliaments and CSOs.

As the provision of assistance at both regional and national levels had proven valuable in previous years, DCAF continued to work along these two axes to contribute to more effective and accountable national security sectors in the region, with an emphasis on Cambodia, Myanmar, the Philippines and Thailand. In response to the various and diverse contexts in which its support occurred, ranging from democratization to post-conflict peacebuilding and national peace processes, DCAF undertook a variety of initiatives to foster inclusive and participatory security dialogue, strengthen democratic oversight of security institutions and enhance the provision of security services through capacity building and training. Among the key priorities and areas of focus for 2016 in Southeast Asia were the following.

- Support to emerging multistakeholder dialogue processes on SSG/R at the national level.
- Facilitating the exchange of experience and good practices on security sector oversight among members of parliament, security officials and civil society representatives at a regional level.
- Strengthening the capacity of parliaments to oversee and legislate on the security sector.
- Fostering transparency and accountability in the security sector.
- Assistance to reform security institutions, in particular the armed forces and police.

On a **regional level**, DCAF sustained its support to the Inter-Parliamentary Forum on Security Sector Governance (IPF-SSG), with the aim of enhancing civilian oversight, public accountability and national parliamentary involvement in SSG. Since 2006 DCAF and the Friedrich Ebert Stiftung (FES) have supported the IPF-SSG to promote ongoing dialogue and exchange of good practices on the democratic governance of the security sector among members of parliament in Southeast Asian countries. To date, the forum has 300 participants, including members of parliament, parliamentary staffers, government and security officials, academic experts and civil society representatives from Cambodia, Indonesia, Malaysia, Myanmar, the Philippines, Singapore and Thailand, along with representatives of observer states, namely Laos, Pakistan and Viet Nam, and of the Association of Southeast Asian Nations (ASEAN) Secretariat and the ASEAN Inter-Parliamentary Assembly. The 2016 workshop, which was organized for the first time in cooperation with SDC and FES, marked the tenth anniversary of the forum, focusing on the role of parliaments in the good governance of the security sector of ASEAN member states.

At the **national level**, Myanmar remained DCAF's principal partner country in Southeast Asia in 2016. DCAF's support continued to focus on the transformation of the Myanmar Police Force (MPF) into a community-based police service that is responsive to the needs of the people and operates in line with human rights and best international practice, as well as the improvement of parliamentary oversight of the police in the framework of an interim project financed by the United Kingdom Department for International Development, which was designed to bridge the gap between the completion of the initial EU police reform project and the EU follow-up project that started in early 2017. At the same time, DCAF continued to support the armed forces and other security sector actors in the conceptualization of SSR and disarmament, demobilization and reintegration (DDR) in the peace process, and to train Myanmar professionals on SSG, including parliamentarians, members of political parties, CSOs, representatives of government ministries and security sector personnel. Beyond Myanmar, DCAF contributed to capacity building for parliamentarians in Cambodia and media representatives in Thailand.

Beyond Southeast Asia, DCAF started to explore opportunities for engagements in other South Asian countries, including Sri Lanka, where contacts were established with parliament and ministries through the Swiss Embassy, and Nepal, which is considering membership in DCAF's Foundation Council.

Key activities by project/programme in 2016

Project/programme	Activities
Support to the IPF-SSG	Organization of the tenth anniversary workshop of the IPF-SSG in Siem Reap, Cambodia, in cooperation with the IPF-SSG Steering Committee, FES and SDC. The workshop convened 70 parliamentarians and national security sector stakeholders from ASEAN member states.
Parliamentary Capacity-building Project in Cambodia	Co-hosting the launch of the Khmer version of the Inter-Parliamentary Union (IPU) and DCAF handbook, *Parliamentary Oversight of the Security Sector*, to parliamentarians and other security sector stakeholders in Phnom Penh in cooperation with the Cambodia Institute for Cooperation and Peace and with the support of the SDC office in Cambodia.
Support to Improve Police Accountability in Myanmar	Organization of consultation meetings with senior management of the MPF to develop their capacity to implement a service-oriented approach to policing and sensitize new senior members of the MPF to the activities and achievements of the initial DCAF-supported police reform project.
Strengthening the Capacity of Security Sector Professionals in the Philippines	Conclusion of a memorandum of understanding between the National Defence College of the Philippines and DCAF on the continuation of the joint SSR workshop series to build the capacity of government officials, members of the armed forces and police and other stakeholders to contribute effectively to SSR processes.
Human Security, Development	Co-hosting a seminar on "Human Security in Southern Thailand" in Bangkok for 50 security sector representatives, in partnership with the National Broadcasting and Telecommunications

and Role of the Media Capacity-building Workshops in Thailand	Commission of Thailand.
	Co-hosting a capacity-building workshop on "Human Security, Development and the Role of the Media" in Hat Yai for 80 community radio broadcasters from the three southern provinces of Thailand, in partnership with the National Broadcasting and Telecommunications Commission of Thailand.

Key results at the outcome level in 2016

DCAF's support to increase the accountability of police in Myanmar *contributed to senior management of the MPF taking steps towards adopting a more proactive approach to policing that is responsive to the needs of the public.* The following point is notable.

- The chief of police initiated a series of training workshops on service-oriented policing, which were held across the country, following DCAF capacity-building support. As these workshops were launched and organized without external initiation or financial support, they represent the most progressive initiative towards embracing a new policing approach within the MPF to date. In the organization of the workshops, the MPF drew closely on the draft police code of ethics and police vision developed under DCAF guidance during a prior police reform project.

Latin America and the Caribbean

In 2016 DCAF engaged in Latin America and the Caribbean to support activities aimed at enhancing private security governance and gender equality in security institutions. This included the following key priorities and areas of focus in 2016.

- Promoting the application of principles of good governance to public and private security providers.
- Support to governments and parliaments to strengthen the legislative framework for private security services.
- Support to private security regulatory bodies in their efforts to increase transparency and accountability of private security services.
- Development of local institutional capacities to address security and human rights challenges related to the operations of extractive industries' companies and PSCs, and the consolidation of local ownership of SSG/R processes.
- Support to the promotion of gender equality in security institutions.

DCAF continued to assist partners across the region in addressing security and human rights challenges related to **extractive industries'** operations in the region. In particular, in Peru DCAF worked closely with the local CSO Socios Perú to support the implementation of good practices on the management of security at corporate sites in accordance with human rights through engagement with the national working group on the Voluntary Principles on Security and Human Rights (VPs).

At the same time, DCAF advanced its work on strengthening national legislation on, and regulation of, **PSCs** in the region through its partnership with the UN Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC). A key component of assistance in the framework of joint DCAF–UNLIREC programming was the promotion of oversight of and accountability in the use of SALW by the private security industry. As part of this programme, support was provided to parliaments, national regulatory authorities, PSCs, civil society and other stakeholders in Costa Rica, El Salvador and Peru.

In 2016 DCAF programming also focused on the promotion of **gender equality** in security institutions. In partnership with OQ Consulting from the Netherlands, DCAF designed and delivered a series of training workshops on gender and security for the Office of the Attorney General of Guatemala. In addition, DCAF initiated planning for the delivery of an initial gender course on a comprehensive approach to gender in peace operations in Chile.

Moreover, DCAF sustained its support to international partners involved in SSR programming in the region, in particular to SDC. It continued its backstopping support to the SDC regional office and its implementing partners in Honduras in the areas of security and justice sector reform dialogue, conflict sensitivity and M&E.

Key activities by project/programme in 2016

Project/programme	Activities
Strengthening National Legislation and Regulation of PSCs	Development and publication of the first-ever baseline study of armed private security in Latin America and the Caribbean, which was widely shared with relevant regional and national regulatory authorities and stakeholders.
	Support to the Peruvian national regulatory authority for private security services and the civilian use of firearms, ammunition and explosives (SUCAMEC) in formulating a draft by-law to implement the 2015 private security law and developing a draft national code of conduct for PSCs.
	Comprehensive review of the present status of private security legislation in Costa Rica to establish an empirical basis for legal advice to national authorities on what international norms and good practices to incorporate into a new private security law.
Support to the Implementation of the Attorney General's Gender Equality Policy in Guatemala	Delivery of three consecutive training workshops on gender and security for 75 staff of the Office of the Attorney General of Guatemala (Ministerio Público), focusing on the implementation of the gender equality policy of the Ministerio Público and developing effective prosecutorial responses to violence against women.

One project was also implemented in Latin America and the Caribbean but involved assistance to a bilateral donor. For an overview of activities and outcomes achieved under this project in 2016, see the relevant section on assistance to international partners.

- **Advisory Support to the SDC Regional Office in the Implementation of the Integrated Security Sector Reform and Violence Prevention Programme in Honduras (ISSAT Bilateral Support Programme)**

Key results at the outcome level in 2016

DCAF support to national regulatory authorities in Latin America and the Caribbean *contributed to the strengthening of private security legislation and regulation in a number of countries in the region.* The following points are notable.
- In Peru SUCAMEC developed a draft by-law to implement the 2015 private security law and a draft national code of conduct for PSCs, drawing on DCAF advisory support.
- Costa Rican national authorities and parliament initiated a legislative process drawing on DCAF advisory support to pass a new law on private security in 2017.

Assisting International Partners

While DCAF assisted partner states in reform processes aimed at enhancing the governance of the security sector, it also worked with international partners, such as bilateral donors and multilateral organizations, to enhance their provision of effective and coherent support to these nationally led and locally owned reform processes. In supporting international partners in the delivery of assistance to national SSR processes, DCAF pursued an indirect, yet equally important, avenue for fulfilling its mandate. In this regard, DCAF support focused in particular on the work of the UN and other relevant international, regional and subregional organizations, as well as other formal and informal multilateral governance arrangements at regional and global levels, in shaping and implementing SSG/R approaches. While most of DCAF's divisions support bilateral and multilateral actors in delivering SSG/R support, and the examples below draw from this extensive experience, the International Security Sector Advisory Team (ISSAT) is DCAF's main instrument for reinforcing the capacity of bilateral donors to improve their security and justice programming. Also, together with DCAF's Policy and Research Department, ISSAT assists multilateral actors in enhancing the effectiveness and coherence of their support to nationally led SSR processes.

Bilateral Donors

To enhance bilateral donors' efforts to improve security and justice sector governance, ISSAT continued to provide **advisory field services**, including support with assessments, programme design, monitoring, review and evaluation, **training and capacity building** and **knowledge services**, in response to requests from member states of its governing board. Alongside these activities, DCAF engaged in **advocacy and outreach** to promote a whole-of-government approach among ISSAT Governing Board members, facilitate greater coordination and broaden the knowledge of good practices and lessons of security and justice reform. Key priorities and areas of focus in 2016 included the following.

- *Advisory field support:* Backstopping support to the SDC field office in the framework of its SSR and violence prevention programme in Honduras; mapping studies on international assistance to SSR processes in Mali and Nigeria for the Federal Foreign Office of Germany; and support to Norway's justice and rule-of-law programme in Ukraine.
- *Training and capacity building:* Initiating the development of a justice e-learning course for the UN Justice and Corrections Service; continued engagement with international peacekeeping training centres; support to increase ISSAT Governing Board members' capacity to assist national SSR processes; and improvement of the online platform and training resources.
- *Knowledge services:* Development of mapping studies on opportunities and challenges of SSR at national, regional and global levels; and documentation of lessons and good practices.
- *Advocacy and outreach:* Reinforcing donor support to the UN Sustainable Development Goals (SDGs) – particularly Goal 16 on peace, justice and strong institutions – by producing donor-specific briefings on the role of SSR in the SDGs; and reinforcing donor practice to support the SDGs through improving local ownership, sustainability, governance, gender inclusivity and equality, and addressing sexual exploitation and abuse by militaries.

As in previous years, ISSAT support to enhance the effectiveness of SSR programming by its governing board members predominantly focused on countries in sub-Saharan Africa, but also covered fragile contexts in Central America, Southeast Europe and the South Pacific.

In addition to assisting bilateral donors through ISSAT, DCAF continued to support donor countries in the implementation of specific programmes that contribute to enhanced SSG. Among other initiatives, this included DCAF's work as an intermediary management body for the SPCP and Switzerland's cooperation programmes with Bulgaria and Romania on the prevention of human trafficking.

Key activities by project/programme in 2016

Project/programme	Activities
ISSAT Bilateral Support Programme	Provision of advisory support to the SDC security and justice programme in Honduras to strengthen the capacity of the SDC regional office and its implementing partners in the fields of justice reform and SSR dialogue as well as aid effectiveness.
	Development of mapping studies on international assistance to SSR processes in Mali and Nigeria to aid the Federal Foreign Office of Germany in identifying entry points for SSR support.
	Development of a research report reviewing the empirical evidence base of SSR programming for the Folke Bernadotte Academy – Swedish Agency for Peace, Security and Development (FBA) to identify what operational approaches have proven to be successful in the field of SSR.
	Delivery of SSR sensitization and intermediate training to policy-makers and practitioners from Germany and the Netherlands working in the field of security and justice reform.
	Delivery of an advanced training course on SSR to officials from Canada, Denmark, France, the Netherlands, Norway and the United Kingdom in the framework of training courses for the Netherlands and Police Masterclass nations.
	Support to the Norwegian Ministry of Justice in the formulation of a 2017–2020 strategic document for the Norwegian Rule of Law Advisers to Ukraine and Norwegian Rule of Law Advisers to Moldova programmes.
ISSAT Francophone Bilateral Support Programme	Development of a review study on French SSR programming, with field missions in Guinea, Burkina Faso and Côte d'Ivoire. The study made recommendations on potential actions and options at the political, strategic and organizational levels for the French Ministry of Foreign Affairs and International Development.
	Delivery of an advanced training course on SSR to personnel of the French Ministry of Foreign Affairs and International Development working directly on SSR support or indirectly through bilateral, regional or multilateral missions in countries where SSR is an important political issue.
	Review of SSR support across francophone post-conflict countries to develop a report on good practices of SSR support for practitioners from francophone donor countries, in partnership with the Organisation internationale de la Francophonie (OIF).

One programme also involved assistance to bilateral donors but focused on a specific geographical region. For an overview of activities and outcomes achieved under this programme in 2016, see the section on support to national partners in Southeast Europe:

- **Support to the Implementation of the SPCP 2012–2016** (pp. 9 and 12).

Multilateral Organizations

DCAF continued to assist multilateral organizations in their efforts to enhance the effectiveness and coherence of their support to nationally led SSR processes that promote local ownership, gender equality and human rights within a framework of the rule of law. While DCAF's engagement with multilateral organizations has traditionally had a strong focus on the UN system and regional organizations in the Euro–Atlantic region and Africa, in 2016 DCAF drove forward the process of expanding this network to other world regions, in particular the Americas.

In 2016 DCAF was able to reinforce its key strategic relationship with the **UN**, particularly with the Department for Peacekeeping Operations (DPKO), the UN Development Programme (UNDP) and other members of the UN Inter-Agency SSR Task Force. DCAF and DPKO signed in 2016 a strategic framework agreement on cooperation. The overarching purpose of this agreement is to consolidate and expand the partnership between DCAF and DPKO's SSR Unit in its capacity as the focal point and technical resource capacity on SSR for the UN system, to facilitate the UN's efforts to implement Security Council Resolution 2151. In line with this agreement, DCAF's activities focused on support to the development and review of policy and guidance documents and the execution of joint research projects on specific SSR-related issues, as well as support to UN field staff in the framework of peacekeeping operations or country team structures through advisory field support and long-term cooperation on dedicated SSR support programmes targeted at national stakeholders. DCAF also further consolidated its partnership with UNDP in the area of rule of law and justice, as well as with UNLIREC to support greater oversight and accountability of armed PSCs operating in Latin America and the Caribbean.

In addition to support to the UN, DCAF sustained and expanded its cooperation with regional and other multilateral organizations, such as the EU, NATO, the OSCE, the AU, ECOWAS, the Organisation for Economic Cooperation and Development (OECD), the OIF and the IPU.

Among other priorities, DCAF support included the following activities in 2016.

- *UN*: Development of a mapping study on multilateral organizations' approaches to SSR; support to the finalization of an integrated technical guidance note on M&E; desk research for the development of a study on the UN's approach to support to defence sector reform; support to the conduct of an external review of the UN Police Division (UNPOL); and the launch of assistance to the UNDP Global Programme to Strengthen the Rule of Law and Human Rights for Sustaining Peace and Fostering Development.
- *EU*: Provision of advisory support to the development process of the EU-wide strategic framework to support SSR; and support to the EU delegation in Guinea-Bissau to identify options for a new justice sector reform programme.
- *OSCE:* Sustained cooperation on SSG/R programming with OSCE field offices in Eastern Europe and Central Asia; and support to the development of guidelines on SSG/R for OSCE senior management.
- *NATO*: Support to policy development in the area of integrity building in defence management; awareness raising of best practice for SSG and democratic oversight of the security sector among parliamentarians from NATO member and partner states in the framework of cooperation with the NATO Parliamentary Assembly (via Rose-Roth Seminars); support to the Understand to Prevent initiative; and support to the chair of the NATO Committee on Gender Perspectives (NCGP) and to the Special Representative for Women, Peace and Security, in particular by facilitating the work of the Civil Society Advisory Panel on Women, Peace and Security (CSAP).

- *ECOWAS:* Support to the implementation of the organization's SSG/R framework, notably the publication and promotion of the ECOWAS *Toolkit for Security Sector Reform and Governance in West Africa* as key guidance for civil society, executive authorities and parliaments in the Sahel region.
- *OIF:* Support for representatives of ombuds institutions for the armed forces from francophone states in sub-Saharan Africa to participate in the Eighth International Conference of Ombuds Institutions for Armed Forces (ICOAF) in 2016; and development of a research study on the privatization of security in Africa.
- *IPU:* Conclusion of an agreement to develop a joint DCAF–IPU guide, *Contributing to Security for Sustaining Peace: The Role of Parliaments*; and support to the organization of a panel discussion, "Promoting Democratic Accountability of the Private Security Sector" at the 135th IPU Assembly to discuss challenges and opportunities of oversight and regulation of PSCs.

DCAF further strengthened its engagement with international financial institutions in the last year, namely with the World Bank and the regional development banks. In this context, DCAF in particular provided assistance in the development of risk mitigation guidelines for the Citizen Security Cluster of the Inter-American Development Bank (IADB).

DCAF also further explored the potential of establishing partnerships with the Organization of American States and the IADB on SSR-related programming in Latin America and the Caribbean, as well as enhancing collaboration with ASEAN and the ASEAN Inter-Parliamentary Assembly in the framework of the IPF-SSG.

Key activities by project/programme in 2016

UN

Project/programme	Activities
Mapping Multilateral Organizations' Approaches to SSR	Support to the development of a mapping study on multilateral organizations' approaches to SSR, including desk research and the conduct of interviews with staff of selected multilateral organizations.
Review of UN Peacekeeping Operations' Support to Defence Sector Reform	Desk research on UN support to defence sector reform in peacekeeping contexts, including a systematic analysis of relevant UN Security Council resolutions and UN Secretary-General reports, to support the drafting of a report which will contribute to the DPKO's review of UN support to defence sector reform.
Support to Guidance Development	Support to the finalization of the UN Integrated Technical Guidance Note on Monitoring and Evaluation of SSR Support.
Support to DPKO in Undertaking the External Review of UNPOL	Management of the review, including development of a review methodology and plan, data collection and analysis, and drafting of the final report.
Support to UN Women in the Promotion of Gender Equality in the Ministry of Defence of Georgia	Facilitation of a workshop to develop a set of procedures that outline how to register and handle complaints about unacceptable behaviour, including bullying, sexual discrimination, sexual harassment, domestic violence and sexual abuse, in collaboration with UN Women.
Support to the Final Evaluation of the Rule of Law and Justice Project of the UNDP Country Office in Guinea-Bissau	Development of methodology outlining country project evaluation criteria, as well as global relevant criteria and indicators to support strategic monitoring of the UNDP Global Programme on Strengthening the Rule of Law and Human Rights for Sustaining Peace and Fostering Development.
	Desk research and field mission to gather empirical data and draw lessons.
Support to the UN Mission in Liberia	Delivery of an advanced training course on SSR to staff of the UN Mission in Liberia.

EU

Project/programme	Activities
Support to the EU in the Development of an Integrated EU SSR Policy Framework	Provision of advisory support to the review process of the EU-wide strategic framework to support SSR, including the production of three country case studies on EU SSR support (Democratic Republic of the Congo, Mali and Ukraine) and support to consultation workshops.
Enhancing the EU Capacity to Deliver Support to National SSR Processes	Delivery of an introductory training course on SSR to civilian, police and military experts from governments, civil society, international NGOs and multilateral organizations engaged in SSR and post-conflict reconstruction as part of the Academic Programme of the European Security and Defence College Core Course on SSR, jointly organized by the Austrian Ministry of Defence and Sport and the Austrian Study Centre for Peace and Conflict Resolution.
Support to Project Identification for an EU Programme to Support the Reform of the Justice Sector in Guinea-Bissau	Conduct of an assessment of justice needs and the context for justice sector programming in Guinea-Bissau to identify possible areas of engagement for a new EU programme.

OSCE

Project/programme	Activities
Support to Developing a Coherent and Effective OSCE Approach to SSG/R	Support to the development, validation and launch of four internal guidance notes, "Needs Assessments in the Area of SSG/R", "Impact-oriented Approaches to SSG/R", "Cross-dimensional Approaches to SSG/R" and "Approaches to Supporting Regional Cooperation".
	Support to the development of a senior management briefing note on SSG/R to facilitate the implementation of the four guidance notes developed with DCAF assistance.
	Co-hosting the OSCE-wide Conference on the Code of Conduct: Parliamentary Control and Oversight of the Security Sector in partnership with the German Federal Foreign Office (as chair-in-office of the OSCE in 2016), the OSCE and the OSCE Parliamentary Assembly to support the implementation of the OSCE Code of Conduct on Politico-Military Aspects of Security.
	Support to the OSCE in encouraging member states to include voluntary responses related to democratic oversight of PSCs in the annual questionnaire on the Code of Conduct on Politico-Military Aspects of Security.

NATO

Project/programme	Activities
Building Integrity (BI) – Defence Management and Anti-Corruption Cooperation via NATO BI Platforms	Development of publications on the role of integrity in international peace missions as part of the creation of reference materials (compendium) on integrity building with the armed forces in coordination with NATO BI Programme focal points.
NATO Parliamentary Assembly Cooperation	Support to build the capacity of parliamentarians to perform oversight of the security sector in the Western Balkans and former Soviet Union.
Support to the NATO Understand to Prevent Initiative	Provision of advisory support to NATO in the development of a more comprehensive guidance document for SSR under the framework of the Understand to Prevent initiative.
Support to the NCGP	Support to the Bulgarian chair of the NCGP to identify content, methodology and expectations for the committee's annual meeting.
External Facilitation of the NATO CSAP	Support to the planning and organization of the first meeting of the NATO CSAP, including support to increase the understanding of NATO structures, policies and operations among members of the CSAP.

ECOWAS

Project/programme	Activities
Support to the Development of the ECOWAS *Toolkit for Security Sector Reform and Governance in West Africa*	Development of one chapter of the *Toolkit for Security Sector Reform and Governance in West Africa* on "Integrating Gender in Security Sector Reform and Governance" (tool 8) to support the implementation of the ECOWAS framework for SSG/R.

AU

Project/programme	Activities
Support to the AU	Support to the consultation and planning workshop of the AU regional economic communities/ regional mechanisms to enhance institutional coordination in the field of SSR.
	Provision of advisory support to the AU in assessing the need to promote more effective regulation of PSCs among member states and regional economic communities.

IADB

Project/programme	Activities
Support to Citizen Security Programming of the IADB	Development of risk mitigation guidelines for the IADB to strengthen its risk framework for engaging with police and corrections services.

One programme was conducted in collaboration with UNLIREC but is covered under the section on Latin America and the Caribbean. For an overview of activities and outcomes achieved under this programme in 2016, see the specific geographical section on support to national partners.

- **Strengthening National Legislation and Regulation of PSCs in Latin America and the Caribbean** (p. 32).

Key results at the outcome level in 2016

DCAF's support to the external review of UNPOL *contributed to UNPOL taking measures to modify its operating model to deliver more effectively on police reform objectives and meet demands from the field*. The following point is notable.

- The UN Secretary-General endorsed nine out of the ten key recommendations emerging from the review in his 2016 report on UN policing. The implementation of those recommendations is expected to adapt UNPOL functions, structures and capacity to new demands and evolving mandates and mission environments.

DCAF's advisory support *contributed to the EU developing a more coherent and evidence-based SSR policy framework*. The following point is notable.

- Findings from three case studies on EU support to national SSR processes produced by DCAF were integrated into the development of the new EU-wide strategic framework to support SSR, which was adopted in July 2016. The new policy framework is expected to improve the effectiveness of the EU in promoting the democratic governance of the security sector in line with the rule of law and respect for human rights.

The OSCE guidelines on SSG/R that were developed with DCAF support *contributed to more effective planning, the adoption of cross-dimensional approaches in the design of interventions and the introduction of enhanced training initiatives on SSG/R for OSCE staff*. The following points are notable.

- Several SSG/R focal points within the organization reported drawing on the guidance on impact-oriented approaches to SSG/R when planning new projects. The guidelines were used in particular to identify entry points for support and develop objectives which clearly contribute to long-term as opposed to short-term results.

- SSG/R focal points within the organization reported using the guidance on cross-dimensional approaches to SSG/R to design projects that cut across the first (politico-military), second (economic and environmental) and third (human) dimensions of security. In the past, SSR activities which were multidimensional, such as those in the areas of anti-corruption or public procurement in the security sector, were often neglected.

- The guidance notes were used by the OSCE to develop a new training curriculum on SSG/R for the organization's staff in cooperation with FBA. The first training on the basis of the new curriculum was delivered in April 2016.

DCAF's support to ECOWAS through the development of the *Toolkit for Security Sector Reform and Governance in West Africa contributed to civil society actors in several West African countries implementing approaches to improving SSG*. The following points are notable.

- The Malian CSO and think-tank ARGA used "Tool 1: Political Leadership and National Ownership" and "Tool 6: Civil Society Involvement in Security Sector Reform and Governance" to raise awareness on SSG and train local members in the Segou, Mopti and Timbuktu areas.

- WANEP used "Tool 6: Civil Society Involvement in Security Sector Reform and Governance" in support of the annual planning meeting of the national early-warning system monitoring committee of Burkina Faso.

Other Multilateral Platforms

In 2016 DCAF continued to provide substantive support to the institutional development of a number of formal and informal multilateral governance arrangements addressing specific aspects of SSG at regional and global levels, including the following.

- The secretariat of the International Code of Conduct Association (ICoCA), a multistakeholder platform that serves as an oversight body for the implementation of the International Code of Conduct for Private Security Providers (ICoC), involving over 100 PSCs, states and CSOs.

- The Montreux Document Forum (MDF), comprising 54 states and three international organizations, is a venue for informal consultation among Montreux Document participants which supports the national implementation of existing international legal obligations and good practices related to private military and security companies (PMSCs). DCAF serves as the MDF Secretariat, and in this role works closely with the co-chairs of the MDF, Switzerland and the ICRC.

- The ICOAF, a transgovernmental network that aims to establish best practice and lessons learned related to the mandate, powers and functioning of ombuds institutions, involving representatives from

- over 50 states and five multilateral institutions, and co-hosted by DCAF and one of the participating states.
- The Global Counterterrorism Forum (GCTF), comprising a diverse array of 29 states and the EU, brings together experts and practitioners from countries around the world to share experiences and expertise, and develop tools and strategies on how to prevent, combat and prosecute terrorist acts and counter incitement and recruitment to terrorism.
- The PCC SEE, with DCAF serving as the secretariat based in Ljubljana.

To reinforce national government-led processes aimed at enhancing the governance and accountability of PSCs, DCAF maintained its support to multistakeholder mechanisms and instruments for private security governance at the global level, in particular the **ICoCA** and the Montreux Document. DCAF continued to promote the ICoC initiative and its implementation by providing administrative and expert support to the institutional development of the ICoCA, in particular in the development of procedures to monitor PSCs' compliance with the ICoC and process complaints on alleged violations of the code. In addition, it organized outreach events to raise awareness on the ICoCA among both public and private stakeholders and encourage their participation in the multistakeholder initiative.

In the context of the **Montreux Document**, DCAF engaged in the development of practical tools to support the implementation of more effective regulation of PMSCs. These practical implementation tools were developed on the basis of the good practices contained in the Montreux Document as well as extensive consultations with relevant experts and stakeholders. DCAF also supported the organization of outreach activities to promote the initiative as a means to ensure that PMSC personnel adhere to existing obligations under international humanitarian law. In its role as the secretariat for the MDF, DCAF further supported the co-chairs Switzerland and the ICRC in convening participants around key issues and developing informative knowledge tools on challenges and opportunities of PMSC regulation.

Within the transgovernmental network of **ICOAF**, DCAF advanced its work on promoting ombuds institutions as a fundamental means to ensure that armed forces are governed in accordance with the rule of law, and with respect for the human rights of both armed forces personnel and the civilians with whom they engage. In the area of support to ombuds institutions, DCAF's engagement mainly included support to foster international cooperation between ombuds institutions of various countries, documentation of best practices and lessons learned, and formulation of recommendations to strengthen the functioning of these institutions on the basis of policy-oriented research.

In the context of the **GCTF**, DCAF supported Switzerland and the United Kingdom in conducting an international human-rights-focused review of good governmental practices and lessons learned in online prevention of and countermeasures to terrorism. On the basis of the findings of the review, recommendations on human-rights-based approaches and methodologies to limit the appeal and use of online platforms to support violent extremism will be developed.

In the framework of the **PCC SEE**, DCAF supported contracting parties in the establishment of effective systems for border management through the provision of guidance to processes aimed at increasing the legal, organizational and structural alignment between border police services in the region, the development of national administrative implementation frameworks to ensure the proper application of the convention, and assistance to enhance the operational capabilities of contracting parties to undertake effective cross-border police cooperation in accordance with Schengen standards.

Key activities by project/programme in 2016

Project/programme	Activities
Support to the Development of ICoC Oversight Mechanisms (ICoCA)	Support to the development of multistakeholder oversight and governance functions for the ICoCA, including monitoring and complaints-handling procedures, in line with human rights norms and good practices.
Support to the Development and Implementation of the Montreux Document	Development of a mapping study to assess the level of implementation of the provisions of the Montreux Document across participating states and international organizations, and to identify legislative challenges and ways forward in supporting regulation of PMSCs.
	Development of a contract guidance tool on PMSCs to support states, international organizations and humanitarian NGOs in structuring their contracts and procurement processes in line with international humanitarian and human rights law.
	Support to the implementation of the *Legislative Guidance Tool for States to Regulate Private Military and Security Companie*s through engagement with national authorities to assess and review national policy frameworks and regulatory practice in the field of PMSCs.
	Development of factsheets and promotional tools to build clarity and understanding of the Montreux Document good practices.
	Organization of panel discussions, expert roundtables and major international conferences, such as the MDF Plenary, to disseminate the Montreux Document good practices across different levels of government, such as national committees on international humanitarian law, parliaments, line ministries, regulatory authorities and oversight committees.
Promoting Ombuds Institutions for the Armed Forces	Organization of the Eighth ICOAF on the role of ombuds institutions in international missions attended by 70 representatives of ombuds institutions from 37 countries, in cooperation with the Inspector General of the Royal Netherlands Armed Forces and the National Ombudsman of the Netherlands.
	Development of a study, *Mapping Study: Ombuds Institutions for the Armed Forces in Francophone Countries of Sub-Saharan Africa*, in partnership with the OIF.
	Development and publication of the *Social Media Guide for Ombuds Institutions for the Armed Forces*.
	Development of a comparative study of the functioning of ombuds institutions in selected states in the OSCE region, *Ombuds Institutions for the Armed Forces: Selected Case Studies*.
	Provision of policy advice to the Ukrainian government as part of its initiative to reform human rights protection in the armed forces at a workshop organized by DCAF's regional operational division.
Support to the GCTF to Prevent and Counter Radicalization/ Recruitment to Violent Extremist Groups through Online Platforms	Conduct of a human-rights-focused review of good governmental practices and lessons learned in online prevention of and countermeasures to terrorism.
	Development of a mapping study on emerging legal, institutional and normative frameworks for the governance of cyberspace.
	Organization of meetings to bring together states, information and communications technology companies and civil society to discuss the role of online platforms in radicalization/recruitment to violent extremist groups in order to develop recommendations for effective responses.

One programme focused specifically on Southeast Europe but involved assistance to a multilateral platform in the region. For an overview of activities and outcomes achieved under this programme in 2016, see the specific geographical section on support to national partners.

- **Support to the Implementation of the PCC SEE** (pp. 8 and 11).

Key results at the outcome level in 2016

DCAF's promotion of principles and good practices enshrined in the ICoC *contributed to significant steps being*

taken towards enhancing the oversight of the private security industry and its compliance with international law and human rights under the framework of the ICoCA. The following points are notable.

- CSOs, including organizations from the global South, along with PSCs and governments have increasingly joined the ICoCA to support the effective oversight of private security services. In 2016 five new CSOs from Kenya, Nigeria (two), Rwanda and South Africa became members of the ICoCA, while 17 new PSCs and one government (Canada) joined the initiative.

- A growing number of PSCs have incorporated good practices contained in the ICoC in their corporate policies. In 2016 six companies significantly changed their vetting and screening procedures for personnel, while 14 companies made substantive changes to their grievance mechanisms in line with the provisions of the ICoC.

- In September 2016 the ICoCA General Assembly approved and adopted multistakeholder monitoring and complaints functions which allow for effective oversight of member companies of the ICoCA. The establishment of these structures and processes will ensure protection and provide remedy to victims of abuse by private security providers.

DCAF's promotion of the international legal norms and good practices on PMSCs contained in the Montreux Document *contributed to significant steps being taken towards enhancing oversight of the private security industry and its compliance with international law and human rights by states and international organizations.* The following points are notable.

- Estonia joined the Montreux Document following DCAF outreach activities aimed at supporting the EU in promoting norms and good practices enshrined in the Montreux Document among its member states. In addition, Costa Rica and Madagascar have taken active roles in the MDF and became members of the Group of Friends, demonstrating an increased normative commitment to implementing the Montreux Document.

- There has been increased engagement by multilateral organizations under the framework of the Montreux Document. In 2016 the EU Commission identified Montreux Document points of contact across departments (humanitarian aid and security) as well as the External Action Service. In addition, the OSCE advocated for increased engagement on the issue of PMSCs by member states through actively encouraging responses to the voluntary sections of the questionnaire on the Code of Conduct on Politico-Military Aspects of Security which relate to oversight and accountability of PMSCs.

DCAF's promotion of norms and good practices as well as legal and policy advice on the integration of human rights and fundamental freedoms within military structures in the framework of *ICOAF contributed to selected countries taking measures to enhance the accountability of the armed forces and increasing cooperation between ombuds institutions.* The following points are notable.

- Following discussions at the 2015 ICOAF and preparations for the 2016 ICOAF on the role of ombuds institutions in international missions, hosted by the Netherlands, the Inspector General of the Royal Netherlands Armed Forces, the National Ombudsman of the Netherlands and the German Parliamentary Commissioner for the Armed Forces organized their first-ever joint inspection visit to the Dutch and German troops stationed in Mali as part of the UN Multidimensional Integrated Stabilization Mission in Mali in September 2016, in consultation with the Mediator of the Republic of Mali (as ombuds institution of the host state). In the wake of the inspection mission, the Dutch ombudsman received his first-ever complaint from personnel actively stationed abroad.

- After the South Korean parliament failed to vote on a draft law to establish an ombuds institution for the armed forces which was developed by the Special Committee on Military Human Rights with the aid of DCAF knowledge products in 2015, South Korea participated for the first time in ICOAF in 2016. The country's attendance created a window of opportunity for voices advocating for the creation of a military

ombudsman and precipitated the reintroduction of the law to create an ombuds institution for the armed forces to parliament in late 2016. The passage of the law is expected to increase respect for human rights of military personnel and the accountability of armed forces more generally.

- New legislation granting substantially increased powers to the new Service Complaints Ombudsman (formerly the Service Complaints Commissioner) of the United Kingdom, which was aided by DCAF advisory support through the platform of ICOAF, entered into force in January 2016. One of the most important aspects of the new mandate is that it entitles the ombudsman to investigate complaints, as opposed to the commissioner's previous mandate only to *monitor* complaints. As of October 2016 the ombudsman had received over 250 applications to investigate a complaint, which would not have been possible under the previous mandate. This number is expected to rise as more complaints become eligible to be filed with the ombudsman.

Contributing to International Policy Development and Good Practices

Another important pillar of DCAF's work to assist partner states and international actors in improving the governance of national security sectors worldwide is activities that are designed to provide meaningful contributions to international discourses on development, peace and security policy and to develop norms, standards and good practices for SSG/R. To strengthen its role as an impartial and credible source of information in the field of SSG/R, DCAF continued to focus its policy research on key dimensions of good SSG, the promotion of gender equality in the delivery, management and oversight of security services and challenges and opportunities of public–private partnerships in the governance of the security sector.

Policy Research

Through **empirically grounded and policy-oriented comparative research** DCAF has strengthened its profile as a leading institution for SSG/R. The centre's policy research activities not only contributed to a more nuanced understanding of how the principles of SSR and good governance can be applied to the security sector as a whole – or specific components thereof – across different contexts, but also provided a robust basis upon which operational divisions and national and international partners could draw in their efforts to improve SSG worldwide.

Providing clear and concise introductions to themes of SSG/R that are of primary concern to practitioners, the SSR Backgrounder series represented DCAF's principal vehicle for disseminating basic knowledge on DCAF's thematic areas of work. Alongside the SSR Backgrounders' compilation, DCAF – in response to demand from the field – sustained its traditional policy research activities on parliamentary oversight of the security sector, police reform and accountability, and defence sector reform.

Among other publications, additions to the catalogue of knowledge products for SSR practitioners and other stakeholders included the following.

- *Social Media Guide for Ombuds Institutions for the Armed Forces*.
- Three SSR papers on the interface between SSR and mine action, DDR and SALW.
- *Good Governance of the Security Sector in Southeast Asia: What Role for Parliament?*.

As the **2030 Agenda for Sustainable Development** constitutes one of the main conceptual frameworks for DCAF's work in the coming decade, policy and research activities in 2016 focused on several dimensions of the SDG framework, particularly SDG5 (gender equality), SDG11 (inclusive, safe, resilient cities) and SDG16 (peace, justice and strong and accountable institutions). To support the implementation of the SDGs, DCAF developed a background paper for the High-level Political Forum on Sustainable Development on approaches, experiences and challenges in addressing the SDGs in the context of SSG/R support.

While DCAF continued to build up knowledge in its specific areas of expertise, it also contributed to international policy discourses on "new" or (re-)emerging global issues, often viewed as **"non-traditional" security threats**, which have implications for SSG/R and may call for specific reforms. In 2016 DCAF particularly advanced its policy research on the role of SSG in detecting, preventing and managing global health crises.

DCAF further sought to broaden the SSR communities' knowledge on **M&E** in SSG/R through policy-oriented research and guidance development. To enhance policy-makers' and practitioners' understanding of the conceptual underpinnings of programming in the area of SSR, DCAF finalized research on the methodological approaches of evaluations in the area and launched a research project aimed at identifying patterns of theories of change based on a comparative analysis of SSR-related evaluations. DCAF also explored possibilities for conducting a comparative analysis of lessons identified in SSR-related evaluations.

Key activities by project/programme in 2016

Project/programme	Activities
SSG/R Knowledge Services Programme	Development and publication of SSR Paper No. 16, "Integrating SALW and SSR Programming".
	Development and publication of SSR Paper No. 15, "Linking Mine Action and SSR through Human Security".
	Development and publication of SSR Paper No. 14, "DDR and SSR in War-to-Peace Transition".
	Development of SSR Paper No. 17, "Community Policing".
	Development of SSR Backgrounders in the areas of gendarmeries, intelligence services, intelligence oversight, private security governance, police reform, defence reform, civil society and media.
Comparative Research on the Role of Parliament in SSG	Comparative research on the role of parliament in SSG carried out in contributing to DCAF's operational work in Southeast Asia.
The Security Sector and Global Health Crises	Development of a publication on the role of think-tanks in improving global health security preparedness.
	Development and publication of a policy brief, "The Security Sector and Global Health Crises: Lessons and Prospects".
	Organization of a seminar, "Global Health Security: The Security Sector's Role in the 2014–2015 Ebola Epidemic – Lessons and Experiences for Future Health Crisis Management", at NATO headquarters in Brussels.
	Organization of a workshop, "Security Sector and Global Health Crises: Lessons from the 2014 Ebola Epidemic in West Africa", in Freetown, Sierra Leone.
	Development of 20 case studies on the experiences of West African states, regional organizations, bilateral and multilateral assistance and security institutions involved in managing the Ebola epidemic in 2014–2015 to produce a book and an SSR paper on "Ebola and the Security Sector: Opportunities and Limits of Security Sector Engagement in Global Health Crises".
RBM/M&E Programme	Collection of a large sample of SSR-related evaluations and comparative analysis of their methodological characteristics, providing the empirical basis for the development of policy recommendations on how to enhance the methodological rigour of evaluations in the field of SSR.
	Initiation of a comparative analysis of the intervention logics included in a subsample of SSR-related evaluations to identify patterns of theories of change underlying programming in the field of SSR.

The following projects/programmes also had a focus on policy and research but were primarily aimed at assisting multilateral organizations or other multilateral platforms. For an overview of activities and outcomes achieved under these projects/programmes in 2016, see the relevant sections on assistance to international partners.

- **Support to Developing a Coherent and Effective OSCE Approach to SSG/R** (pp. 37 and 39).
- **Mapping Multilateral Organizations' Approaches to SSR** (p. 36).
- **Review of UN Peacekeeping Operations' Support to Defence Sector Reform** (p. 36).

- **Promoting Ombuds Institutions for the Armed Forces** (pp. 41–43).

Key results at the outcome level in 2016

DCAF's support to strengthen the democratic oversight of the security sector through the development of knowledge products that bridge policy and practice *contributed to DCAF guidance material being used by parliamentarians as a critical resource in legislative processes.* The following point is notable.

- In an effort to enhance their knowledge of international good practice in the area of intelligence oversight, members of the National Assembly of South Korea pooled their annual resources for translation to translate the DCAF toolkit on overseeing intelligence services. The parliamentarians subsequently used the Korean version of the toolkit to inform other parliamentarians on international good practices of democratic oversight of intelligence services when an anti-terrorism law was debated in parliament.

Gender and Security

In 2016 DCAF further strengthened its role as a source of reference for gender and SSR through the development of **expert research products** on gender and security. DCAF continued developing guidance and collecting good practices on the governance and provision of security in a framework of gender equality, thereby contributing to a solid knowledge base for the advancement of SDG5 and SDG16. At the same time, DCAF sustained the extensive dissemination and promotion of the centre's handbooks, manuals and guides on gender equality and security through the organization of, and participation in, key training events and conferences with the aim of influencing and enriching policy debates on security.

DCAF further developed and maintained its outstanding competency in the area of gender and security through the following publications.

- *Teaching Gender to the Military: A Handbook.*
- *Case Studies on Gender-related Human Resources Policies in Armed Forces*.
- *Practice Guide: Domestic Violence – Addendum to the Judicial Benchbook: Considerations for Domestic Violence Case Evaluation in Bosnia and Herzegovina*.

In parallel to policy and research activities, DCAF supported national partners in promoting equal participation of women and men in the oversight, management and delivery of security services, with a geographic focus on sub-Saharan Africa and Eastern and Southeast Europe. Alongside support to national partners, DCAF maintained close cooperation with multilateral partners through support to the development of knowledge products and the provision of policy advice and training on gender and security, particularly with the UN, the OSCE and NATO.

Key priorities of support in the area of security and gender in 2016 mainly revolved around **operational support**, such as support to Liberian border communities with the aim of empowering women to participate actively in SSG at the local level; assistance to the Senegalese armed forces in implementing gender policies and gender training capacities; promotion of gender equality in the judiciary system of Bosnia and Herzegovina; support to Ukraine in the implementation of the Council of Europe Convention on preventing and combating domestic violence and

violence against women (Istanbul Convention); support to the National Tunisian Women's Police Association to improve representation of women in police management and ensure the provision of more gender-sensitive police services; support to the chair of the NCGP; and support the NATO Secretary General's Special Representative for Women, Peace and Security in the facilitation of the CSAP.

Key activities by project/programme in 2016

Project/programme	Activities
Development of a Handbook on Teaching Gender to the Military	Development and publication of a handbook on teaching gender to the military to improve the integration of gender in professional military education and enhance the capacity of gender experts to deliver educational content, in cooperation with the Partnership for Peace Consortium of Defense Academies and Security Studies Institute.
Development of *Case Studies on Gender-related Human Resources Policies in Armed Forces*	Development and publication of *Case Studies on Gender-related Human Resources Policies in Armed Forces* to serve as a reference for other armed forces in considering ways in which they can promote the retention, recruitment, advancement and full participation of women.
Development of the Judicial Practice Guide on Domestic Violence in Bosnia and Herzegovina	Development and publication of an additional resource on domestic violence for the judiciary of Bosnia and Herzegovina, *Practice Guide: Domestic Violence – Addendum to the Judicial Benchbook: Considerations for Domestic Violence Case Evaluation in Bosnia and Herzegovina*, in cooperation with three working groups of judges from Bosnia and Herzegovina and AI. The judicial practice guide complements the judicial benchbook on domestic violence case evaluation and sentencing (developed by DCAF in partnership with AI).

The following operational projects/programmes also had a thematic focus on gender and security. For an overview of activities and outcomes achieved under these projects/programmes in 2016, see the relevant sections on support to national partners or assistance to international partners.

- **Gender and Justice Project in Bosnia and Herzegovina – Gender Bias Law School Curriculum Development** (p. 10).
- **Gender and Justice Project in Bosnia and Herzegovina – Domestic Violence Benchbook Institutionalization** (pp. 10 and 14–15).
- **Gender and Justice Project in Bosnia and Herzegovina – Gender Trainer Development** (pp. 10 and 15).
- **Gender and Justice Project in Bosnia and Herzegovina – Sexual and Gender-based Harassment Policy Implementation** (pp. 10 and 15–16).
- **NATO Trust Fund III Jordan – Enhancing the Role of Servicewomen in the Jordanian Armed Forces** (p. 17).
- **Support to the National Women's Police Association in Tunisia** (p. 19).
- **Human Security and Women's Participation in Border Communities of Liberia Programme** (pp. 25 and 23–25).
- **Gender Survey of the Security Sector in Mali** (pp. 23 and 25).
- **Gender Equality in the Senegalese Armed Forces** (p. 24).
- **Integrating Gender Equality within the Sierra Leone Police** (p. 24).
- **Improve the Criminal Justice Sector Response to Domestic Violence and Violence against Women in Ukraine – Phase I: Assessment of the Readiness of the Criminal Justice Sector to Implement the Istanbul Convention** (p. 28).
- **External Facilitation of the NATO CSAP** (p. 37).

Key results at the outcome level in 2016

DCAF's support to strengthen the integration of gender perspectives in SSG/R through the development of knowledge products that bridge policy and practice *contributed to DCAF guidance material being recognized as a critical resource in the area of gender and the security sector*. The following point is notable.

- In the terms of reference developed by UNDP for a consultancy with the objective of leading a gender strategy development process for the Guinean Defence and Security Forces, UNDP required the use of the *Gender Self-Assessment Guide for the Police, Armed Forces and Justice Sector* developed by DCAF.

Private Security Governance and Public–Private Partnerships

Over the course of 2016 DCAF continued its support to improve governance and oversight of the private security sector and effective management of security by the global extractive industry and other multinational corporations through multistakeholder initiatives that bring together government, civil society and private security industry representatives to forge public–private partnerships that promote respect for human rights, and to expand its thematic activities in the field of good cybersecurity governance.

As an integral part of its work, DCAF further consolidated its body of **research** on challenges and opportunities in this field through the production of high-quality publications that bridge the gap between policy and practice.

- The third edition of *Addressing Security and Human Rights Challenges in Complex Environments: Toolkit*, with a new chapter on extractive industries' engagement with local communities, available in English, Spanish and French.
- The *Legislative Guidance Tool for States to Regulate Private Military and Security Companies*.
- The scoping study "Putting Private Security Regulation into Practice: Sharing Good Practices on Procurement and Contracting", aimed at informing procurement policies by states and international organizations.
- The edited volume on *The Privatisation of Security in Africa: Challenges and Lessons from Côte d'Ivoire, Mali and Senegal*, which provides expert accounts of the realities of the contemporary private security industry in Africa.
- A regional baseline study, *Armed Private Security in Latin America and the Caribbean: Oversight and Accountability in an Evolving Context*, aimed at presenting an updated picture of the private security sector in the region as well as the challenges the sector faces in terms of regulation and small arms control.
- The tools on "Recommendations for Hiring Private Security Providers (PSPs)" and "Ten Steps to Promote the Voluntary Principles on Security and Human Rights: The Peruvian Working Group Model", developed in partnership with Socios Perú, PeaceNexus and the ICRC.
- A book entitled *Private Security in Practice: Case Studies from Southeast Europe*, which outlines practical challenges posed by the private security sector in Southeast Europe.

While DCAF was actively engaged in policy research, its main activities in 2016 were linked to **operational support**, which was provided to national and international partners to ensure that private actors operate within a framework of the rule of law and respect for human rights and international humanitarian law, where applicable.

DCAF's assistance in the area of private security governance and business and SSR focused on the following key areas.

- Support to the implementation of the Montreux Document on Pertinent Legal Obligations and Good Practices for States Related to Operations of Private Military and Security Companies during Armed Conflict, and the implementation of the ICoC.
- Support to the implementation of the VPs, in particular good practices on addressing security and human rights challenges related to the operations of extractives companies.
- Promotion of multistakeholder approaches for the governance of cybersecurity and the digital domain, including awareness raising on governance and human rights challenges that internet platforms may pose in the area of preventing and countering violent extremism.

In the area of private security sector regulation and oversight, DCAF support included the development of a contract guidance tool for public and private clients of security services based on good practices contained in the **Montreux Document**; the finalization and dissemination of a legislative guidance tool on key requirements to be included in national regulation of PMSCs; the organization of the annual MDF Plenary; institutional support to the MDF in the role of its secretariat; and targeted national and regional outreach to build increased awareness of and support for the Montreux Document. DCAFs programming also included support to the **ICoCA**, and the establishment of civil society observatories in the global South with a view to strengthening the institutional capacity of the ICoCA to monitor PSCs and reinforce the oversight role of civil society. Finally, DCAF supported the regional and national implementation of international norms and good practices regarding private security governance, notably in Latin America and Liberia.

DCAF support to the **VPs** involved support to their implementation at the local level, in particular through multistakeholder forums in Latin America, and the promotion of dialogue between different groups of stakeholders on security and human rights challenges and needs, which allowed the identification of priority areas for further DCAF support. To allow for the expansion of DCAF support to the implementation of good security and human rights practices, the new DCAF Security and Human Rights Implementation Mechanism was created in September 2016. The mechanism is designed to enable the targeted implementation of good security and human rights practice on the ground. Its broader objective is to foster greater public–private cooperation by promoting partnerships with local, regional and international stakeholders. The end of 2016 saw the constitution of the Security and Human Rights Implementation Mechanism Steering Committee and the design of three pilot activities that involve support to regional and national implementation of security and human rights good practices in selected African and Latin American countries.

Finally, support to the promotion of **multistakeholder approaches for the governance of cybersecurity and the digital domain** included outreach to, and capacity building for, national parliaments on the cyber dimension of SSG, the development of a mapping study on emerging legal, institutional and normative frameworks for the governance of cyberspace, and the organization of meetings that bring together states, information and communications technology companies and civil society to discuss the role of online platforms in radicalization/recruitment to violent extremist groups in order to develop recommendations for effective responses.

Key activities by project/programme in 2016

Project/programme	Activities
Legislative Guidance Project for States to Regulate PMSCs	Development and publication of the *Legislative Guidance Tool for States to Regulate Private Military and Security Companies*, which was presented to over 100 parliamentarians from around the world at the 135th IPU Assembly.
"Putting Private Security Regulation into Practice: Sharing Good Practices on Procurement and Contracting"	Development and publication of a scoping study on good practices applied by states and international organizations on the public procurement of private security services to promote respect for human rights by private security contractors.
Addressing Security and Human Rights Challenges in Complex Environments	Awareness raising on security and human rights challenges through a workshop with the VPs working group in Lima and a workshop with a mining company operating in Peru that is a member of the VPs initiative.
	Development and publication of two tools tailored to the Peruvian context on "Recommendations for Hiring Private Security Providers (PSPs)" and "Ten Steps to Promote the Voluntary Principles on Security and Human Rights: The Peruvian Working Group Model" in collaboration with local VPs' stakeholders.
	Publication of the third edition of the DCAF–ICRC toolkit on addressing security and human rights challenges in complex environments, with a new chapter focusing on extractives companies' relations with local communities.

The following operational projects/programmes also had a thematic focus on private security governance and public–private partnerships. For an overview of activities and outcomes achieved under these projects/programmes in 2016, see the relevant sections on support to national partners or assistance to international partners.

- **Private Security Research Collaboration in Southeast Europe** (pp. 10 and 14).
- **Private Security Governance Observatory in Francophone Africa** (p. 23).
- **Strengthening National Legislation and Regulation of PSCs in Latin America and the Caribbean** (p. 32).
- **Support to the Development of the ICoC Oversight Mechanisms (ICoCA)** (pp. 41–42).
- **Support to the Development and Implementation of the Montreux Document** (pp. 41–42).

Key results at the outcome level in 2016

DCAF's promotion of good practices in the field of security and human rights with the global extractives sector through support to the VPs *contributed to companies taking significant steps towards enhancing their corporate approaches to security and human rights challenges when operating in complex environments*. The following point is notable.

- One company used the guidance contained in the DCAF–ICRC toolkit on addressing security and human rights challenges in complex environments to determine due diligence requirements in its contracting of private security services. Four companies incorporated the toolkit into training practices for company personnel.

III. COMPARATIVE ANALYSIS OF RESULTS

This section presents a comparative analysis of the results that occurred in 2016 to offer a more nuanced understanding of how DCAF support – often in interaction with other stakeholders – acts as a catalyst for enhanced SSG through inclusive and participatory reforms. It provides insights into the most common types of medium-term results (outcomes) to which DCAF activities contributed in 2016, and sheds light on the areas in which DCAF support is having important positive effects. While the analysis explores relationships between results and individual activity lines, it does not make inferences about the relative effectiveness of specific types of support due to significant variation in the scope of activities undertaken in the framework of projects and programmes. As assistance along some activity lines is more prevalent across the projects and programmes that were covered by corporate monitoring, they are more likely to generate results than others, which distorts conclusions about the effectiveness of activity lines and does not allow the generalization of findings. In addition, the development of knowledge products, such as mapping studies, institutional needs assessments or the analysis of legislation, policies, rules and procedures often is essential to the planning and design of projects and programmes. As many knowledge products inform operational programming, they are the most common type of support provided by DCAF even though they do not necessarily produce results on their own.

Figure 4. Number of projects/programmes per activity line as indicated in monitoring reports
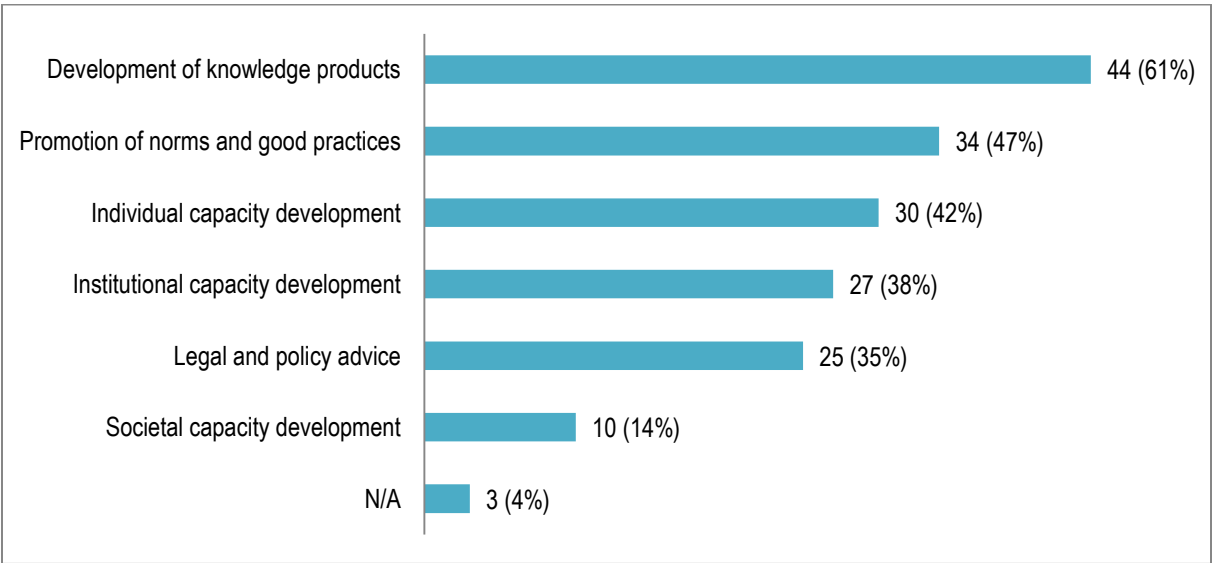
Note: The graphic only reflects projects and programmes that were subject to corporate monitoring in 2016 (in total 72). Several of the monitored projects and programmes include assistance along more than one activity line and were therefore assigned to more than one line. For this reason, the percentages total over 100. The category "N/A" includes projects and programmes that did not indicate any activity line in their monitoring reports. The figures are based on the information in the monitoring reports and no adjustments were made, except for monitoring reports which did not specify at what level capacity building was targeted (e.g. individual, institutional or societal).

In 2016 DCAF contributed to various and diverse medium-term results across different regions and thematic priorities. As the comparative analysis demonstrates, support along different activity lines had a mutually reinforcing effect on a number of dimensions of SSG. However, the transversal trends in results emerging from different activity lines identified in this section are by no means exhaustive, as the scope of changes that a given

project or programme brings about varies significantly across time and space and not all the results that materialized in the past year are included in the comparative analysis.

Box 3. Methodological considerations

The following methodological considerations need to be taken into account when interpreting the findings of the comparative analysis.

- *Focus on results at the outcome level (immediate or intermediate) rather than outputs*. While the portfolio of DCAF projects and programmes generated a multitude of outputs in 2016, only results that indicate changes at the outcome level are included in the comparative analysis.
- *Drawing on results presented in monitoring reports submitted for the 2016 reporting period (72 in total)*. Since not all DCAF projects and programmes were subject to corporate monitoring at the level of both immediate and intermediate outcomes, the comparative analysis does not cover all the results to which DCAF contributed in 2016.
- *Recognizing that outcomes cannot be observed on an annual basis*. As it may take multiple years for changes at the outcome level to occur and there may be significant practical and political obstacles to data collection in a specific context, some projects and programmes which were implemented in 2016 are not represented in the comparative analysis.
- *Significant variation in the relative frequency of activity lines*. The effectiveness of each activity line cannot be assessed on the basis of this comparative analysis as some types of activities, such as the development of knowledge products or the promotion of norms and good practices, are more common than others, and therefore may be more likely to contribute to results in a given reporting period (year).

First, while some of these results emanated from relatively recent activities, others were the product of multiple years of assistance. As the time lapse between activities and results differs considerably across projects and programmes due to the diverse contexts in which they are implemented and because more external factors and influences are at play the further upstream from activities results emerge, DCAF recognizes that it is unrealistic to expect every project and programme undertaken in 2016 to generate results at the levels of immediate and intermediate outcomes. For this reason, the comparative analysis does not represent DCAF's entire portfolio of project and programmes. Second, the synthesis of results presented here is based on information drawn from the monitoring reports collected during the second phase of piloting the corporate RBM system, and information on significant results that was not available at the time of the collection of monitoring reports but was fed into the review process of this report by divisions. However, DCAF contributed to the accomplishment of many more results than those described in this section. As DCAF's corporate monitoring focuses on medium-term results, only results that are of strategic importance and reflect progress beyond the output level are included in this analysis. In addition, DCAF often faced significant constraints to data collection which did not allow the production of timely information on results that could feed into corporate monitoring and empirical verification of perceived changes in the delivery, management and oversight of security services.

Figure 5. Proportion of projects/programmes according to main categories of support
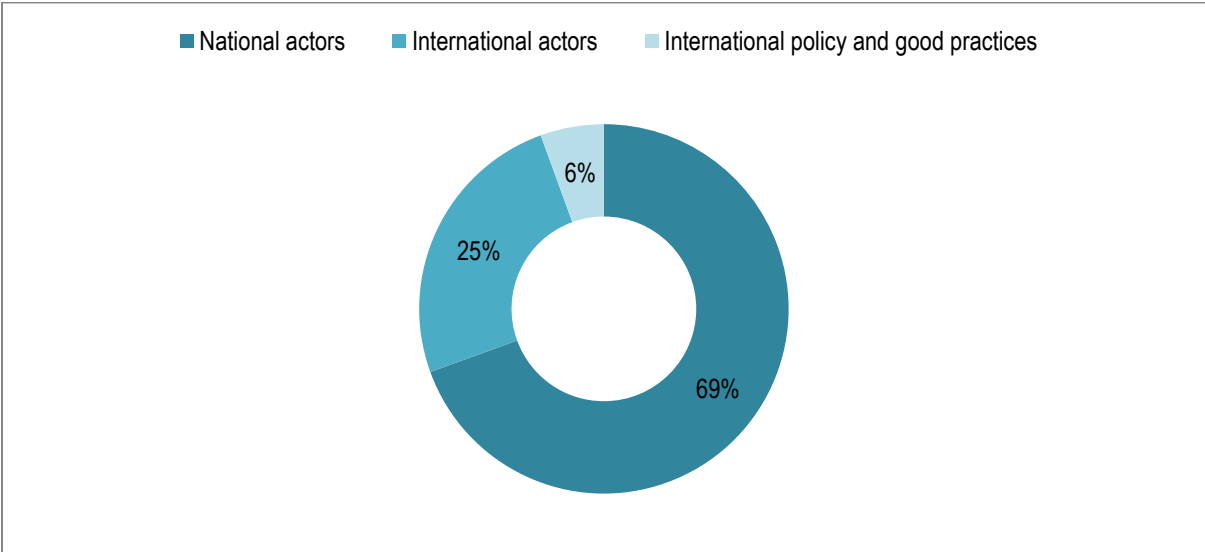
■ National actors ■ International actors ■ International policy and good practices

6%

25%

69%

Note: The graphic only reflects projects and programmes that were subject to corporate monitoring in 2016 (in total 72). The category of "national actors" includes support targeted at national stakeholders within the boundaries of a specific country or across different countries in a region with the same thematic focus. The category also covers assistance to transnational platforms that bring together national actors and representatives of multilateral organizations from a particular region but have no legal character. The category of "international actors" includes support targeted at international partners that provide assistance to national SSR processes, including member states of the ISSAT Governing Board (bilateral donor agencies) and multilateral organizations (multilateral donor agencies) at the global, regional and subregional levels. In addition, support to formal and informal multilateral platforms that bring together national actors and representatives of multilateral organizations from across the globe falls into the category of assistance to international actors. The category of "international policy and good practices" includes other DCAF activities that are primarily designed to bridge the gap between policy and practice in the field of SSG/R.

In view of these limitations, this section does not attempt to draw a comprehensive picture of the type of changes to which DCAF support contributed in the last year; rather, it presents tangible results that are indicative of how DCAF support has contributed to inclusive and participatory reforms which are geared towards enhancing the effective and accountable provision of security within a framework of democratic governance, the rule of law and respect for human rights. In addition, the analysis places emphasis on DCAF's support to national partners, as the vast majority of projects and programmes that were subject to corporate monitoring in 2016 covered support to national actors within a specific country.

Figure 6. Support to national partners by geographic scope/international partners by type of institution
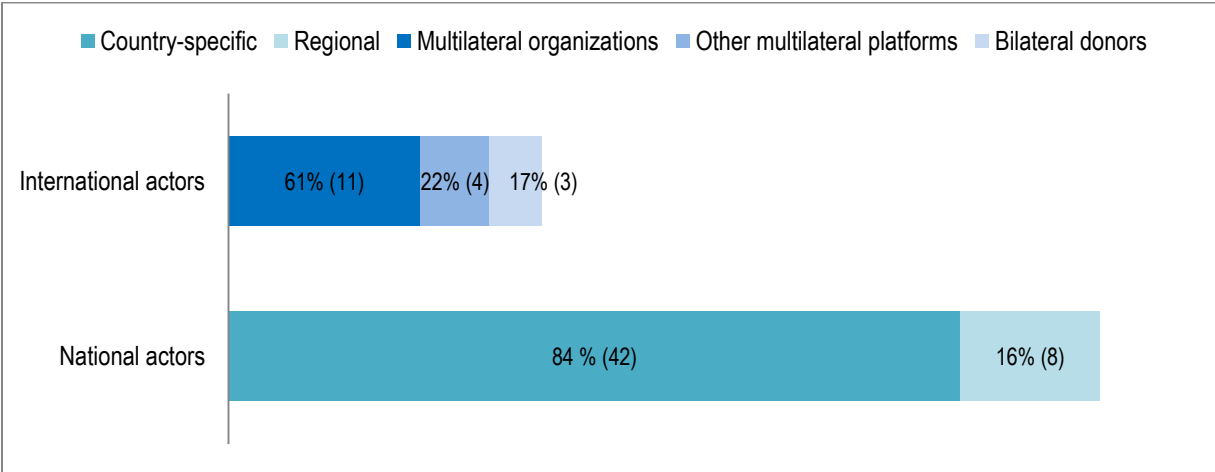
Note: The graphic only reflects projects and programmes that were subject to corporate monitoring in 2016 (in total 72). As it does not include projects and programmes that fall into the category of international policy and good practices (see Figure 5 above), the absolute frequencies do not total 72.

Development of Knowledge Products

The first activity line of DCAF's corporate results framework refers to the development of knowledge products, such as policy research studies, handbooks, toolkits and other operational guidance products, training manuals and curricula, almanacs on issues related to the security sector, online knowledge portals and web-based software applications. With the development of knowledge products, DCAF seeks to bridge the gap between policy and practice, to fill knowledge voids on particular dimensions of SSG and to build empirical evidence for the planning and design of projects and programmes as well the provision of legal and policy advice. Knowledge products are primarily aimed at increasing the knowledge of national and international partners on trends, challenges and emerging issues related to SSR; providing practical guidance on how to undertake or support inclusive and participatory SSR processes that are in line with fundamental principles and norms of SSG/R; promoting lessons learned and good practices of SSR; and enhancing the understanding of challenges to and opportunities of SSR in a specific national context. In general, results emanating from the creation of knowledge products are measured by the extent to which they have been used by national and international actors and their use has contributed to enhanced SSG. Over the course of 2016 a number of knowledge products developed by DCAF have translated into tangible results.

First, **DCAF's knowledge products have contributed to enhancing national and international partners' training initiatives**. For example, a CSO in Mali used the tools on political leadership and national ownership and civil society involvement in SSG/R from the ECOWAS *Toolkit for Security Sector Reform and Governance in West Africa* that DCAF developed in the training of local members as well as awareness raising in the Segou, Mopti and Timbuktu regions. In Macedonia[6] the Ministry of Interior integrated into its e-learning platform the e-learning courses developed by DCAF on police integrity for officers, police managers and the generic audience. The integration of these courses into police education is expected to enhance the professionalism and integrity of police services, prevent unethical behaviour and reduce the risk of corruption. Similarly, members of legal faculties at different universities in Libya used the online database of Libyan security sector legislation in the delivery of legal education. Moreover, in the framework of support to address security and human rights

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[6] Referred to for all purposes within the EU, NATO, OSCE and the UN as "the former Yugoslav Republic of Macedonia".

challenges related to the operations of extractives companies, four companies incorporated the DCAF–ICRC toolkit on security and human rights into training practices for company personnel. With regard to international partners, DCAF's support in the development of four guidance notes on SSG/R translated into the OSCE using the guidelines to develop a new training curriculum on SSG/R for its staff in cooperation with FBA. The first training on the basis of the new curriculum has already been delivered.

Second, **DCAF's knowledge products have contributed to national partners developing legislation, policies and institutional structures based on insights gleaned from them, and to international partners relying on these products to inform support to SSR**. For example, members of the South Korean parliament pooled their annual resources for translation to translate the DCAF toolkit on overseeing intelligence services in order to learn more about international good practices on intelligence oversight. The parliamentarians subsequently used the Korean version of the toolkit to inform other parliamentarians on international good practices of democratic oversight of intelligence services when an anti-terrorism law was debated in parliament. In the occupied Palestinian territories the authorities of the Governorate of Ramallah/Al-Bireh used the DCAF assessment report on the organizational performance and capacity of the governorate in the provision of public safety and security as a guideline in the initiation of policy reforms in the areas of information management, impact assessment and public relations. In Bosnia and Herzegovina the court president of Tuzla appointed a staff member within the head of registry office to identify the application of misdemeanour proceedings in cases of domestic violence adjudicated at the court, thereby implementing a recommendation in the judicial benchbook on domestic violence that had been produced with the assistance of DCAF. Similarly, in an effort to strengthen penal policy on domestic violence and improve case evaluation, the court president of the district court in Banja Luka appointed a judge with specialized knowledge on domestic violence to act as a judge rapporteur in all civil and criminal cases of domestic violence decided by the district court on appeal, drawing on a recommendation contained in the benchbook. In addition, an extractives company used the DCAF–ICRC toolkit on security and human rights as guidance in elaborating due-diligence processes for its corporate contracting of private security services. At the international level, DCAF's *Gender Self-Assessment Guide for the Police, Armed Forces and Justice Sector* was recognized as a critical resource in the formulation of a gender strategy for the Guinean Defence and Security Forces. In the framework of support to the government of Guinea in the implementation of the national defence and security strategy, UNDP required the use of the guide in the terms of reference for a consultancy to support the development of an overarching gender strategy for the security sector. Moreover, in the context of support to strengthen the legal framework of police in the occupied Palestinian territories, a number of international donors, including EUPOL COPPS, have started to call for the need to establish the civilian status of the Palestinian police, based on DCAF's assessment of the draft law on police.

Third, **DCAF's knowledge products have contributed to improving national and international partners' planning of initiatives aimed at strengthening SSG**. For instance, DCAF support to develop practical guidance on how to implement the ECOWAS regional normative framework for SSG/R contributed to a CSO in Burkina Faso using the tool on civil society involvement in SSG/R in support of the annual planning meeting of the national early-warning system monitoring committee. This is anticipated to contribute to strengthening the efficiency of the early-warning system as an instrument for monitoring relations between security forces and communities. In Mali a local CSO used the compilation of laws and other legal documents that circumscribe the mandate of the MSCP to produce a mapping study identifying weaknesses in the legal architecture of the security sector, with a view to informing national SSR processes and establishing a solid basis for security sector oversight by CSOs. While DCAF knowledge products were used by national actors to enhance planning efforts at the domestic level, they also laid the foundation for more effective planning of multilateral organizations' support to SSR. For example, SSG/R focal points in the OSCE used the guidelines on impact-oriented and cross-dimensional approaches to SSG/R that had been developed with the support of DCAF in the planning and design of new projects. The guidelines on impact-oriented approaches to SSG/R were used in particular to identify

potential avenues for support to SSR in countries of the OSCE region and develop objectives that are linked to long-term rather than short-term results. In a similar vein, OSCE focal points drew on the guidance note on cross-dimensional approaches to SSG/R to devise projects that cut across the politico-military, economic and environmental, and human dimensions of security that the organization seeks to promote as part of its comprehensive understanding of the concept of security. The systematic use of the guidance note is expected to shift the organization's focus away from fragmented support that may have limited impact towards a more holistic approach that enables more effective and coherent support to SSR.

Promotion of Norms and Good Practices

The second strand of DCAF's activities consists of the promotion of norms and good practices. The purpose of promoting these is to transform the perceptions of good professional practice and change the behaviour of national and international partners contributing to SSG in different national contexts. The promotion of norms and good practices among national partners mainly focuses on the diffusion of democratic norms and human rights, norms of cooperation and reciprocity, and principles of good governance, such as transparency, accountability, responsiveness, effectiveness and efficiency, gender equality and the rule of law. These activities are aimed at changing the values, beliefs and attitudes of personnel responsible for the management, delivery and oversight of security services; shifting collective expectations of the proper behaviour of security actors with a given role and mandate; and fostering security policies and practices that are consistent with the norms and good practices promoted by DCAF. Among international partners, the promotion of norms and good practices primarily focuses on the circulation of fundamental norms and principles for international support to SSR, including accountability, coordination, national ownership, gender equality and the adoption of people-centred and whole-of-government approaches. Activities to raise international partners' awareness of norms and good practices are designed to alter the logics and professional dynamics of SSR practitioners and policy-makers; to harmonize international practices of SSR assistance and foster synergies; and to embed normative standards promoted by DCAF into donor policies and institutional frameworks. In general, successful promotion is measured by indicators which illustrate that norms and good practices promoted by DCAF are increasingly accepted as new standards for appropriate behaviour and translate into regular changes in the behaviour of national and international actors. These indicators include metrics such as the level of cooperation between different stakeholders, the extent of institutionalization of norms and good practices promoted by DCAF in laws, policies and procedures, the extent to which actors comply with these norms and good practices, and the level of participation in legally or politically binding multistakeholder initiatives that set normative standards for enhanced SSG. DCAF's work in this area found expression in a number of tangible results in 2016.

First, **DCAF's promotion of norms and good practices has contributed to increased cooperation between governmental and non-governmental stakeholders at the local and national levels, including more inclusive and participatory security policy-making**. For instance, DCAF's promotion of norms and principles underpinning the democratic governance of the security sector at a series of national multistakeholder workshops in Ukraine prompted the government of Ukraine to use these workshops actively to encourage public discussion on security-sector-related policies with a broad range of civil society representatives. This highlights emerging changes in the perception of the role of civil society in SSG by the Ukrainian government. In Liberia, DCAF's support to multistakeholder dialogues in selected border communities contributed to increased cooperation between community-based organizations, traditional authorities, local officials and security forces, as well as decisions being taken to improve public safety and security in those communities. For example, border forces in Lofa County increased interaction with the local chapter of a regional CSO which organizes women along borders

to monitor transnational security threats, by inviting members of the organization to cross-border meetings and more openly sharing information with them. Moreover, a town chief of the county referred a case of domestic violence to police rather than solving the dispute in the traditional way, indicating increased confidence in local police following community-level exchanges that had been supported by DCAF. In River Gee County, police and traditional leaders came to an agreement that traditional leaders should refrain from interfering in arrests following discussions about challenges arising from the overlap between penal and customary law. Similarly, local stakeholders participating in the community dialogue that DCAF assisted in Grand Gedeh County agreed to re-establish a community taskforce on child protection because they perceived violence against youth and road insecurity as being on the rise.

Second, **DCAF's promotion of norms and good practices has contributed to increasing acceptance of the validity and significance of norms and good practices of SSR and an emerging normative commitment to abide by these international standards among national and international partners**. For example, DCAF's promotion of principles and good practices enshrined in the ICoC played a vital role in the further expansion of the membership of the ICoCA. CSOs, including those from the global South, PSCs and states have increasingly joined the ICoCA to enhance oversight of the private security industry and its compliance with international law and human rights. In 2016 five new CSOs from Kenya, Nigeria (two), Rwanda and South Africa became members of the ICoCA. In addition, 17 new PSCs and one state (Canada) joined the tripartite oversight mechanism of the ICoC. In parallel, the promotion of the international legal norms and good practices on PMSCs contained in the Montreux Document in the framework of support to the EU paved the way for Estonia joining the initiative. Moreover, Costa Rica and Madagascar demonstrated increasing normative commitment to enhance the oversight of PMSCs and their adherence to international law and human rights in 2016 by taking active roles in the MDF and becoming members of the Group of Friends. Alongside these results, the promotion of norms and good practices on private security governance by DCAF contributed to increased engagement of multilateral organizations under the framework of the Montreux Document. In 2016 the EU Commission identified points of contact for the Montreux Document across humanitarian aid and security departments as well as the External Action Service. In addition, the OSCE advocated for increased engagement on the issue of PMSCs by member states by actively encouraging responses to the voluntary sections of the questionnaire on the Code of Conduct on Politico-Military Aspects of Security which relate to oversight and accountability of PMSCs. At the national level, DCAF's promotion of norms and good practices on gender and justice translated into changes in their perceived salience among judges and prosecutors in Bosnia and Herzegovina. This is illustrated by the more than threefold increase in the number of applications to the second rendition of the DCAF gender trainer development course in 2016. Applicants explicitly stated that they were inspired to participate because of greater awareness of their role in addressing domestic violence, SGBH and gender bias through DCAF norms-promotion activities. In the framework of support to institutionalize the judicial benchbook on domestic violence within the judicial system of Bosnia and Herzegovina, a number of judges started to diffuse norms and good practices on domestic violence promoted by DCAF in advocating for the endorsement of recommendations to improve the judiciary response to domestic violence in front of the HJPC.

Third, **DCAF's promotion of norms and good practices has contributed to national partners adopting good practices and institutionalizing international norms in legal, policy and institutional frameworks**. For example, following exposure to norms and good practices on the role of ombuds institutions in exercising oversight of the armed forces, in particular in international missions, promoted by DCAF in the framework of ICOAF, the Inspector General of the Royal Netherlands Armed Forces, the National Ombudsman of the Netherlands and the German Parliamentary Commissioner for the Armed Forces organized their first-ever joint inspection visit to the Dutch and German troops stationed in Mali as part of the UN Multidimensional Integrated Stabilization Mission in 2016, in consultation with the Mediator of the Republic of Mali in its role as ombuds institution of the state hosting the troops. In the wake of the inspection, the Dutch ombudsman received his first-

ever complaint from personnel actively stationed abroad. In Bosnia and Herzegovina, judges who had become more aware of good practices on domestic violence case evaluation and sentencing through DCAF support in the production of the judicial benchbook on domestic violence applied those practices in the development and validation of an addendum to the benchbook. Their knowledge of these good practices also guided the judges in the formulation of a series of concrete and specific recommendations and the elaboration of an associated advocacy plan. In Kosovo[7] DCAF's promotion of gender equality and integration of gender perspectives in its parliamentary assistance activities prompted the Assembly of Kosovo to establish a gender focal point within its security committee in 2016. The appointment of the focal point has translated into greater consideration of gender in the activities of the committee, built confidence in dealing with security stakeholders and increased the awareness of gender perspectives in discussions at plenary level. In Tunisia, DCAF's promotion of norms and good practices in prison management contributed to the development of new institutional structures for the management of penal statistics that facilitate evidence-based policy-making. In December 2015 the Tunisian authorities created the Bureau Central de Statistiques within the DGPR following DCAF awareness raising on the vital role that penitentiary data play in the strategic management of the penitentiary system. At the international level, DCAF's promotion of norms and good practices of cross-border police cooperation in its role as the PCC SEE Secretariat induced Macedonia (July 2015) and Montenegro (January 2016) to establish FAST units to increase the effectiveness of cross-border police operations. The units in both countries have started to apply the FAST methodology in line with EU standards and best practice. In the area of private security governance, DCAF's promotion of principles and good practices contained in the ICoC provided impetus for a growing number of PSCs to incorporate those practices in their corporate policies. In 2016 six companies significantly changed their vetting and screening procedures for personnel, while 14 companies made substantive changes to their grievance mechanisms in line with the provisions of the ICoC. At the same time, the promotion of norms and good practices related to the regulation of the private security industry contributed to the ICoCA General Assembly approving and adopting multistakeholder monitoring and complaints functions which allow for effective oversight of member companies of the ICoCA. The establishment of these structures and processes will ensure protection and provide remedy to victims of abuse by PSC personnel. While not yet resulting in concrete amendments to the legal framework, the first-ever attendance of a South Korean delegation at ICOAF created a window of opportunity for voices advocating for the creation of a military ombudsman. It precipitated the resumption of parliamentary discussions about a draft law to establish an ombuds institution for the armed forces on which parliament had failed to vote in 2015. The passage of the law is expected to contribute to increasing respect for the human rights and fundamental freedoms of armed forces personnel in South Korea.

Provision of Legal and Policy Advice

The provision of legal and policy advice to national and international partners constitutes the third activity line of DCAF's corporate results framework. One of the main purposes of this advice to national partners is to ensure that security institutions operate within a clear legal and institutional framework that defines their roles, mandates and the hierarchy of authority between them, the legislature and the executive. At the national level, legal and policy advice typically involves the provision of technical expertise and practical guidance in the form of recommendations, reviews or commentaries to enable national actors to develop or revise legal, regulatory and policy frameworks governing the security sector in line with international standards and legal obligations. Advisory activities are generally designed to ensure that laws and policies are in place which clearly prescribe the

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[7] The Assembly of Kosovo declared the territory's independence on 17 February 2008. While 37 member states of the DCAF Foundation recognize the independent of Kosovo as of the date of the publication of this report, 25 member states do not, and continue to refer to Kosovo in the framework of UN Security Council Resolution 1244.

responsibilities and functions of security institutions; clarify the role of parliament and other oversight bodies in scrutinizing security policies and practices; outline the institutional structure of the security sector architecture, including decision-making and competencies of the executive; and regulate the authorization procedures for administrative and operational activities. In the context of assistance to international partners, advisory activities are generally aimed at improving the conceptualization, planning and conduct of assessments for SSR support activities; enhancing the design of programmes based on key SSR principles and good practices; strengthening policy frameworks and strategies for international support; and improving the planning, management and conduct of evaluations. Measuring success of legal and policy advice entails the assessment of the extent to which legal, policy and institutional frameworks have been developed or revised in line with DCAF input. Another indicator used to assess the achievement of results is the quality and scope of decisions taken to implement newly created or revised laws, policies and institutional structures. In 2016 DCAF contributed to several results through the provision of advisory support.

First, **DCAF's advisory support has contributed to the development or amendment of legal frameworks and instruments governing national security sectors, as well as their initial implementation**. For instance, a number of countries in Latin America made significant strides towards strengthening private security legislation drawing on DCAF advisory support. In Peru the national partner SUCAMEC developed a draft by-law to implement the 2015 private security law, along with a draft national code of conduct for PSCs in line with DCAF advice. In Costa Rica national authorities and parliament initiated a legislative process to pass a new law regulating the private security sector in 2017 drawing on DCAF legal advice. In the occupied Palestinian territories DCAF advisory support contributed to steps being taken towards the development of a basic law for all security forces: a wide variety of governmental and non-governmental stakeholders drafted a vision statement and a legislative policy paper providing concrete proposals for the content of the law, drawing on DCAF expert advice. The documents will serve as critical resources for the development of an overarching legal framework for the Palestinian security forces. In the context of assistance to the Palestinian authorities to increase the effectiveness and coordination of citizen complaints mechanisms, the Council of Ministers adopted a new regulation on citizen complaints based on a legal review and consultation meetings conducted by DCAF. Moreover, the Office of the President of the Palestinian National Authority initiated a process to draft legislation defining the roles and responsibilities of the Palestinian police to align the law more closely with international standards, based on DCAF advice provided to the legal adviser to President Abbas. In the United Kingdom DCAF's legal advice through the platform of ICOAF contributed to the development of new legislation granting substantially increased powers to the new Service Complaints Ombudsman (formerly the Service Complaints Commissioner), which entered into force in January 2016. In contrast to the commissioner's mandate, which only provided for the monitoring of complaints, the new mandate entitles the ombudsman to conduct formal investigations of complaints filed by armed forces personnel. As of October 2016 the ombudsman had received over 250 applications to investigate a complaint, which would not have been possible under the previous mandate. The continuous application of the new legal mandate is expected to enhance respect for human rights and fundamental freedoms of military personnel in the United Kingdom. In the framework of assistance to the implementation of the PCC SEE, DCAF advisory support along with capacity building at a series of expert meetings and bilateral exercises between police services in the region contributed to the adoption of bilateral implementation agreements between contracting parties. In December 2015 Bosnia and Herzegovina and Montenegro signed an implementation agreement on cross-border surveillance, while Albania and Macedonia signed an implementation agreement on hot pursuit in July 2016.

Second, **DCAF's advisory support has contributed to national and international partners developing or revising policy frameworks and strategic plans related to SSR**. For example, in Bosnia and Herzegovina DCAF's advisory support to promote gender equality in the judiciary system reinforced the implementation of the *Guidelines for the Prevention of Sexual and Gender-based Harassment within the Judicial Institutions of Bosnia*

and Herzegovina, which had been developed with the support of DCAF. Members of the HJPC and representatives of its secretariat developed and adopted an initial monitoring and review plan for the new internal policy on sexual harassment and discrimination that, among other institutional measures, provides for the appointment of a point of contact responsible for monitoring the policy, as well as the replication of the baseline survey on SGBH in 2017, based on DCAF advisory support. These measures are expected to support the assessment of changes brought about by the implementation of the policy and related preventive practices. In Ukraine, DCAF's advisory support in the context of assistance to develop effective and accountable civilian institutions for mine action laid the foundation for strengthening policies related to humanitarian mine action, UXO and ERW as national stakeholders reviewed various action plans addressing security threats posed by these weapons and explosive munitions. National stakeholders also reviewed a commentary on draft legislation related to humanitarian mine action, drawing on DCAF legal advice. These results were paralleled by changes in policy frameworks made by international partners. Most notably, DCAF advice based on findings from three case studies on EU support to national SSR processes was integrated into the formulation of the EU's new policy framework for SSR support. The new framework is expected to improve the effectiveness of the EU in promoting democratic governance of the security sector in line with the rule of law and respect for human rights. Moreover, amendments to initial implementation plans in line with DCAF advice enabled implementing partners of SDC under the framework of the SPCP in Southeast Europe to address emerging implementation needs and challenges effectively, and thereby realize planned activities within allocated budgets and time.

Third, **DCAF's advisory support has contributed to the development of institutional structures and mechanisms to increase the effectiveness, transparency and accountability of national security sectors and international support to SSR**. For example, the Ministry of Interior of Tunisia introduced several new communication tools based on DCAF advice to enhance communication with both external and internal audiences, including an official website and a Twitter account. The ministry further improved its cooperation with the media by interacting more regularly with journalists through press conferences. To make effective use of the new communication tools recommended by DCAF, the ministry also significantly expanded the human resource base of its Information and Communication Office. In addition, DCAF expert advice to the Presidency of the Government of Tunisia contributed to the creation of the Centre National de Renseignements, which is aimed at enhancing the coordination of operations conducted by the various intelligence services within different government ministries. In the framework of an EU project led by the German Federal Police to improve border management in Southeast Europe, DCAF's policy advice contributed to the establishment of a regional network of Police and Customs Cooperation Centres. This network provides the basis for further aligning these centres across the region with EU standards for border and customs management. In Macedonia, DCAF policy advice guided the two intelligence oversight committees in parliament in the formulation of a set of recommendations to enhance civil oversight of intelligence services. These recommendations, in conjunction with recommendations made by the EU-commissioned senior experts' group that investigated revelations of systematic interception of communications without court orders in early 2015, provided the basis upon which the government developed a nationally led reform project; its objective is to increase the effectiveness, efficiency, accountability and democratic control of the intelligence services, as well as to contribute to preventing future abuses. With regard to international partners, DCAF's advisory support provided the impetus for the adoption of a common approach to results-based monitoring across all projects funded under the framework of the SPCP. A number of implementing partners of SDC subsequently strengthened their monitoring frameworks, including the PCC SEE Secretariat, which developed a monitoring tool and conducted its first comprehensive monitoring to track progress towards the achievement of the objectives of the PCC SEE. The secretariat has also started to produce concrete statistics on participation by women that will provide a solid baseline for future monitoring. While changes in institutional structures have not become manifest yet, the UN Secretary-General endorsed nine out of the ten key recommendations emerging from the external review of UNPOL which was conducted with the support of DCAF

in his 2016 report on UN policing. The implementation of those recommendations is expected to adapt UNPOL functions, structures and capacity to new demands and evolving mandates and mission environments.

Capacity Development

The fourth strand of DCAF activities relates to capacity-building initiatives at the individual, institutional and societal levels. The objective of national capacity-building support is to increase the ability and competency of national actors to initiate, implement and sustain SSR processes in a manner consistent with human rights, the rule of law and principles of good governance. In contrast, capacity building targeted at international actors is aimed at enhancing the effectiveness, coherence, coordination and context specificity of bilateral and multilateral donor agencies' support to nationally led SSR processes. In 2016 DCAF achieved significant results stemming from capacity-building activities.

Individual Level

At the individual level, DCAF's capacity-building activities in the context of assistance to national partners are aimed at changing the professional behaviour of personnel responsible for the management, delivery and oversight of security services. They are typically designed to inspire a service-delivery mentality among security sector actors; to ensure that security services are provided in an effective way that respects human rights and the rule of law; to enable the practical application of international standards and good practices; and to promote the fair and impartial delivery of security services. In the long term, individual capacity building is expected to increase the legitimacy of security institutions and improve public satisfaction with security services. The purpose of individual capacity building for international partners is to improve the planning, implementation and evaluation of SSR support programmes. DCAF capacity-building activities are mostly designed to establish a solid understanding of the concept, policy framework and international good practice of SSR among practitioners and policy-makers; to ensure the adoption of a holistic and context-specific approach; to enable the operationalization of key principles of SSR, such as local ownership and gender equality; and to increase knowledge of operational challenges and trends related to SSR. One of the indicators used to measure results of individual capacity-building support is the extent to which participants in DCAF training have successfully applied their new or increased skills and knowledge in practice.

First, **DCAF's individual capacity building has contributed to strengthening the delivery of professional training for security sector personnel in line with international standards and good practices by national partners**. For instance, in the framework of support to police reform in Myanmar, DCAF's individual capacity building targeted at the senior management of the MPF contributed to the chief of police independently initiating and organizing a series of training workshops on service-oriented policing. In organizing the workshops, the police force relied extensively on the draft code of ethics and police vision developed on the basis of DCAF advice in a prior police reform project. In Bosnia and Herzegovina DCAF's support to strengthen the capacity of gender trainers to deliver training on domestic violence, SGBH and gender bias to judges and prosecutors contributed to enhanced quality and content of teaching on gender issues. This is illustrated by the unprecedentedly high evaluation scores received throughout 2015 and 2016 by training workshops on gender issues at the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina held by trainers who had participated in the DCAF gender trainer development course. These positive evaluations, along with the direct and prolonged advocacy efforts of gender trainers trained by DCAF, further encouraged the institutionalization of gender training. With the agreement to hold annual workshops on domestic violence, SGBH and gender bias, and to organize more training workshops for SGBH Advisors within the judicial institutions across the country, the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina took a significant step towards firmly embedding the training curricula developed with the support of

DCAF and the expertise of gender trainers trained by DCAF in the judiciary system. Through the use of gender trainers in the training of SGBH Advisors, DCAF also contributed to the delivery of orientation sessions to ensure the effective implementation of the new SGBH policy of the judiciary. Drawing on the new knowledge and skills acquired at specialized training workshops delivered by trainers who had participated in the DCAF gender trainer development course, SGBH Advisors held orientation sessions on SGBH at 50 per cent of courts and 42 per cent of prosecutors' offices in Bosnia and Herzegovina in 2016. In Niger, police trainers trained by DCAF successfully applied both their increased knowledge on the code of conduct for police, which was developed with the support of DCAF, and their enhanced skills in the area of adult teaching methodology in the delivery of training to police officers at regional training centres. The effective promotion of standards for professional behaviour and ethical conduct in the delivery of training to police officers across the country is expected to translate into increased interaction between police and the public and enhanced internal accountability of the police.

Second, **DCAF's individual capacity building has contributed to national partners starting to mainstream gender equality in the management of security services, with emerging changes in respect for gender equality among security institutions**. For example, through participation in internal decision-making on recruitment, a researcher associated with the Civil Protection Services of Mali who had been trained by DCAF to collect information for the development of a gender survey of security institutions in the country was able to leverage his knowledge on the role of gender in the security sector successfully to advocate for a higher gender quota in the recruitment of new personnel for the Civil Protection Services. With 100 out of the 500 new recruits being women, the Civil Protection Services recruited the highest number of women in its history in 2016. The increasing involvement of women is expected to increase the gender sensitivity of civil emergency services. In the context of support aimed at establishing an impartial and non-discriminatory judiciary system in Bosnia and Herzegovina, gender trainers who had participated in the DCAF gender trainer development course transferred knowledge on good practices to prevent SGBH to judges and court personnel who act as SGBH Advisors at courts across the country. As SGBH Advisors subsequently promoted these good practices in the delivery of orientation sessions on SGBH at various judiciary institutions, the gender trainers paved the way for the effective implementation of the new guidelines to prevent SGBH within the judiciary system which had been developed with the support of DCAF in 2015. In fact, following orientation sessions held by the SGBH Advisors, preliminary evidence indicates an emerging shift in attitudes among employees at the municipal court of Konjic, as the number of inappropriate jokes has reportedly decreased. In the long term sensitization workshops held by SGBH Advisors trained by participants at DCAF's gender trainer development course are expected to contribute to fostering a gender-inclusive work environment within the judiciary system of Bosnia and Herzegovina.

Institutional Level

At the institutional level, the objective of DCAF capacity-building support is to enhance the performance of security sector institutions and donor bodies by improving their organizational and technical capabilities. To strengthen the capacity of institutions involved in SSG, DCAF assists national and international partners in the establishment of structures, procedures and modalities for the formulation and implementation of security policies. Institutional capacity building is interrelated with and complements individual capacity-building efforts. At the national level, institutional capacity-building activities may focus on the creation of intra- and inter-institutional channels for communication, coordination and cooperation to improve the management, delivery and oversight of security services; the establishment or strengthening of internal mechanisms to monitor and enforce respect for human rights and the rule of law, and external oversight mechanisms to enhance transparency and accountability of the security sector; the creation of mechanisms to improve strategic planning and budgeting; and the introduction of rules, procedures and practices to enhance financial, human resource and information management. At the international level, institutional capacity building mainly includes the establishment of institutional mechanisms to increase donor coordination, harmonization and alignment in the field of SSR; the promotion of approaches to ensure the transparent and accountable management of donor support to national

SSR processes; and the strengthening of institutional structures for the planning, implementation and evaluation of SSR support programmes. The success of institutional capacity-building activities is determined by indicators that reflect the utility of the newly created or enhanced management structures and processes, such as the frequency and accuracy of their use and the extent to which their use has contributed to more effective and accountable provision of security.

First, **DCAF's capacity building at the institutional level has contributed to increased parliamentary oversight of national security sectors**. For instance, through the introduction of public hearings to assess the implementation of national rule-of-law strategies pertinent to the security sector and identify implementation challenges that require the attention of parliament, based on knowledge acquired at DCAF capacity-building workshops, the security committee of the Assembly of Kosovo was able to hold security institutions more effectively accountable for their operations. Some of the substantive questions raised by parliamentarians during these public hearings, on issues such as intelligence-led policing, cyber security and the fights against terrorism and organized crime, were inspired by expert discussions facilitated by DCAF in the framework of institutional capacity building. DCAF capacity-building initiatives targeted at parliamentary security and defence committees in Southeast Europe also laid the foundation for increased democratic oversight of intelligence services and increased engagement in budgetary oversight of the security sector. For example, in late 2015 and early 2016 the Intelligence Oversight Committee of the Assembly of the Republic of Macedonia conducted its first two pre-inspection monitoring visits to the Macedonian Security and Counterintelligence Service (UBK) and its Foreign Intelligence counterpart (AR) since early 2006, applying its enhanced knowledge and competencies acquired through joint meetings with DCAF experts. With regard to strengthening the involvement of parliament in security budget scrutiny, multiyear capacity-building assistance by international actors, including DCAF, contributed to parliamentary committees in the Western Balkans exercising more systematic and professional budgetary oversight of the security sector. In Kosovo the parliamentary security and defence committees regularly approached security institutions to obtain access to budget information throughout 2016, in particular with respect to 2016 expenditures and budget planning for 2017. In these budget review processes members of parliament and parliamentary staffers successfully applied their enhanced knowledge and skills acquired through a series of capacity-building workshops delivered by DCAF and other stakeholders in the region over the past years. Based on the review processes, the security committee of the Assembly of Kosovo formulated recommendations which were shared with the budget and finance committees for consideration in the 2017 budget approval process. Similarly, the Joint Committee for Defence and Security in Bosnia and Herzegovina organized a series of hearings and expert consultations on defence procurement in 2016, inspired by discussions at a regional training workshop on defence budget analysis held by DCAF. The recommendations issued by the committee are expected to inform defence procurement reform planning undertaken by the Ministry of Defence of Bosnia and Herzegovina.

Second, **DCAF's institutional capacity building has contributed to national actors adopting or reinforcing transnational mechanisms and instruments to enhance border management and combat serious and organized crime**. For example, in the framework of its Border Security Programme in Southeast Europe, DCAF's institutional capacity-building support enabled experts from partner countries to organize and execute common and coordinated cross-border police operations that were based on operational plans and an annual regional risk analysis developed with the support of DCAF. As part of Common Operation AVALA (October 2016), which was designed to detect different cross-border criminal activities, border forces from partner countries whose operations had hitherto been restricted to land and maritime border areas engaged for the first time in border control activities inland, from the Serbian–Macedonian border towards central Serbia, in cooperation with border forces from EU member states. Moreover, through DCAF institutional capacity-building support, Moldova was able to participate for the first time in the organization and execution of common and coordinated cross-border police operations in Southeast Europe. In the framework of these regional operations, border forces from

Moldova undertook border control activities in line with Schengen standards and shared operational results to tackle transnational threats to border integrity. In addition, in 2016 DCAF's assistance to enhance the capacity of security institutions to fight cross-border crime translated into a growing commitment to make effective use of institutional arrangements for the exchange of information that were established with the support of DCAF. For instance, law enforcement agencies of contracting parties to the PCC SEE significantly increased use of the online platforms developed by DCAF for exchanging good practices, experiences and other relevant information specific to their operational fields (person-related data not included), with the aim of combating transnational serious and organized crime more effectively. Similarly, to expand the exchange of information on non-personal data and border-related incidents through the BSEWS that was developed with DCAF assistance, Bosnia and Herzegovina and Albania signed an agreement that allows border police forces in those countries to harness the full potential of the BSEWS. In addition, DCAF's capacity-building support at the institutional level contributed to police education and training institutions in Montenegro and Bosnia and Herzegovina starting to organize and hold webinars on the PCC SEE on their own initiative, drawing on new knowledge and technical skills gained through DCAF training on the development and delivery of webinars on the content of the convention. These webinars serve as an awareness-raising tool on the PCC SEE provisions for cross-border police cooperation, as well as practical examples of how to enact them and overcome potential barriers to their implementation. These webinars are anticipated to improve cross-border police operations between contracting parties and EU member states.

Societal Level

At the societal level, DCAF capacity-building initiatives seek to strengthen the role and capacity of civil society and the private sector in SSG. DCAF primarily aims at strengthening the capacity of CSOs to perform external oversight of the security sector and supporting other independent oversight bodies; undertaking outreach and public awareness raising on security issues and advocating for change; contributing to an informed and fact-based discourse through research on the security sector; and establishing effective networks among these organizations to increase their leverage on security policy-making. This includes support to media and online information platforms to enhance the public's competence to monitor the performance and conduct of security institutions and their personnel. Beyond assistance to empower civil society to contribute to the democratic governance of the security sector, capacity building at the societal level involves initiatives for the private sector. These activities are geared towards strengthening the capacity of companies operating in complex environments, in particular the extractive industries, to manage their security in a way that is effective and respects human rights. Successful capacity building at the societal level is generally associated with civil society, the media, corporate entities and other non-governmental actors becoming the driving forces of efforts aimed at enhancing SSG. Among other measures, indicators to determine the effectiveness of societal capacity building include the frequency and quality of media coverage on security issues, the extent of independent civil society advocacy to enhance SSG and the magnitude of civil society monitoring on security sector compliance with human rights and the rule of law.

First, **DCAF's capacity building at the societal level has contributed to civil society more effectively influencing security dialogue as well as the increased integration of civil society perspectives and expertise into national SSR processes**. For example, CSOs from Mali drew on knowledge acquired through DCAF capacity-building support to formulate SSR-related recommendations which were included in the advocacy statement delivered on behalf of Malian civil society at UN headquarters in New York. In integrating SSR-related recommendations, the civil society delegation increased international actors' understanding of the Malian public's needs and priorities for reform, and effectively promoted a people-centred agenda for SSR. Along similar lines, a Malian-based CSO used the methodological skills and knowledge gained through DCAF training to develop a study identifying shortcomings and challenges in the legal framework governing the management and provision of security in the country. Moreover, by facilitating access to security institutions and technical assistance, DCAF

contributed to three CSOs in Mali delivering training on the role of civil society in SSG to personnel of the gendarmerie, police and national guard, in partnership with professional training schools. In the delivery of the training, the CSOs successfully applied their new or enhanced skills and knowledge acquired through DCAF capacity-building support. The training is expected to reduce prejudice, enhance mutual respect and increase interaction between civil society and security forces in the maintenance of internal security and public order. In Tunisia, journalists who had been trained by DCAF on the concept of SSR, as well as basic methods and techniques of investigative journalism, published a number of articles covering issues related to the security sector, successfully applying their new knowledge and skills. In Kosovo, DCAF's support to an independent policy research centre to analyse PSC regulation and engage with policy-makers on oversight and accountability of the private security industry contributed to the centre organizing a number of meetings with stakeholders from the Ministry of Internal Affairs, the Labour Inspectorate, the Committee on Internal Affairs, Security and Supervision of the Kosovo Security Force, and PSCs to raise awareness on the private security landscape in the country. Similarly, in Macedonia DCAF's support to strengthen the capacity of a local CSO to conduct research for a policy study on the national legal and institutional framework for intelligence and intelligence oversight contributed to sharpening the profile of the organization as an expert in the area of intelligence governance. Its demonstrated expertise prompted members of the two intelligence oversight committees of the Macedonian parliament to approach the organization and seek advice on future reform priorities linked to parliamentary oversight of the security sector. Since civil society input has traditionally not been considered in the field of security in the country, this marks a major shift in attitude among the parliamentary committees.

Second, **DCAF's societal capacity building has contributed to strengthening the role of women in security policy-making at the local level**. For instance, in the framework of support to enhance SSG in Liberian border communities, DCAF capacity-building activities targeted at women's CSOs enabled women from Vahun District to advocate successfully for the assignment of a female police officer to their district. The assignment of the female police officer is expected to make police services more gender sensitive and increase the ability of local police to respond to sexual and gender-based violence. DCAF's societal capacity building in Liberian border communities also contributed to increased gender equality and empowerment of women in the governance of the local security architecture in the town of Gbendin. With the decision to invite an equal number of male and female community members to a district council meeting following participation in DCAF training, the town chief of Gbendin induced more women to come forward and participate in the formulation of security policies. The continuous participation of an equal number of women in local decision-making forums is anticipated to contribute to security policies that are more responsive to the distinct and different security and justice needs of men, women, boys and girls.

Summary

As the comparative analysis above illustrates, DCAF has contributed to significant results across different regions and thematic priorities in 2016. A large number of these results demonstrate progress towards the democratic governance of security institutions. The following section provides an overview of the major trends and commonalities across the results to which DCAF contributed in 2016 through assistance to national and international partners.

DCAF's support contributed to the development or revision of policy frameworks in line with guiding norms for good SSG/R. For example, the Governorate of Ramallah/Al-Bireh used the DCAF assessment report on the organizational performance and capacity of the governorate in the provision of public safety and security as a guideline in the initiation of policy reforms in the areas of information management, impact assessment and public

relations. In the context of the promotion of gender equality within the judiciary system of Bosnia and Herzegovina DCAF support contributed to the development and adoption of a monitoring and review plan for the implementation of the new policy to prevent SGBH. Moreover, DCAF advice was integrated into the formulation of the new EU-wide strategic framework to support SSR.

DCAF's support informed the development of a number of draft laws and changes to legal frameworks governing the provision of security at the national and regional levels. For instance, DCAF support was key to national authorities in Peru developing a draft by-law to implement the 2015 private security law and a draft national code of conduct for PSCs and the government of Costa Rica launching a legislative process to enhance the regulation of the private security industry. In the occupied Palestinian territories, DCAF support contributed to the Office of the President of the Palestinian National Authority initiating a process to amend draft legislation defining the roles and responsibilities of the Palestinian police to bring it more in line with international standards. In addition, the Palestinian Council of Ministers adopted a new regulation on citizen complaints based on DCAF legal advice. In Ukraine national stakeholders reviewed a commentary on draft legislation related to humanitarian mine action, drawing on DCAF advisory support. In the framework of assistance to the implementation of the PCC SEE DCAF support laid the foundation for the adoption of an implementation agreement on cross-border surveillance between Bosnia and Herzegovina and Montenegro (2015) and hot pursuit between Albania and Macedonia.

In addition, DCAF support contributed to the establishment or strengthening of institutional structures and mechanisms that are essential to ensuring the effective and accountable delivery of security services. For example, DCAF support translated into the creation of a national intelligence centre in Tunisia which is responsible for coordinating the operations of the various intelligence services at ministerial level and the establishment of an office for the management of penal statistics to facilitate evidence-based decision- and policy-making in the Tunisian penitentiary system. In Kosovo, DCAF's promotion of gender equality and the integration of gender perspectives in its parliamentary assistance activities prompted the parliament to establish a gender focal point within the security committee, paving the way for greater consideration of gender in the activities of the committee and increasing the awareness of gender perspectives in discussions at plenary level. DCAF's' assistance to enable the effective implementation of the PCC SEE provided the impetus for Macedonia (2015) and Montenegro to establish FAST units, with these units starting to operate in line with EU standards and best practice. Finally, DCAF's promotion of principles and good practices contained in the ICoC contributed to six companies changing significantly their vetting and screening procedures for personnel, while 14 companies made substantive changes to their grievance mechanisms in line with the provisions of the code. At the same time, the promotion of norms and good practices related to the regulation of the private security industry contributed to the ICoCA General Assembly approving and adopting multistakeholder monitoring and complaints functions which allow for effective oversight of member companies of the ICoCA.

DCAF's support often laid the foundation for the sustainable promotion of professionalism, integrity and respect for human rights within security institutions by enhancing the quality and content of training for security sector personnel in partner states. For instance, the Ministry of Interior of Macedonia integrated e-learning courses on police integrity developed by DCAF into its e-learning platform, while four extractives companies incorporated the DCAF–ICRC toolkit on security and human rights into training practices for company personnel. In Niger police trainers trained by DCAF effectively promoted standards for professional behaviour and ethical conduct contained in the police code of conduct, which was developed with the support of DCAF, in the delivery of training to police officers across the country. In Bosnia and Herzegovina, training workshops on domestic violence and SGBH held throughout 2015 and 2016 by trainers at the Centre for Judicial and Prosecutorial Training of the Federation of Bosnia and Herzegovina who had participated in the DCAF gender trainer development course received among the highest evaluation scores in the history of the training centre. In addition, SGBH Advisors within the judiciary system delivered orientation sessions on the new policy to prevent SGBH to courts and prosecutors' offices in the

country, drawing on the skills and knowledge acquired at specialized workshops held by trainers who had participated in the DCAF gender trainer development course. In Myanmar, DCAF support contributed to the chief of the MPF launching and organizing a series of training workshops on service-oriented policing without external initiation or financial support.

Another prominent thread running across the results examined in the comparative analysis was DCAF's contribution to the creation of a conducive environment for gender equality in the management of security services in selected countries at the local and national levels. For example, DCAF support to strengthen the role of women in SSG in Liberian border communities prompted the town chief of Gbendin to invite an equal number of men and women representing the town to a district council meeting, which has encouraged more women to participate actively in the governance of the local security architecture. At the same time, assistance on gender and security in other Liberian border communities translated into women from Vahun District successfully advocating for the assignment of a female police officer to their district and a town chief in Lofa referring a case of domestic violence to police rather than solving it in the traditional way. Along similar lines, DCAF support in the context of the development of a gender survey of the security sector in Mali contributed to the Civil Protection Services of Mali recruiting the highest number of women in its history in 2016, with women representing one-fifth of new recruits. Moreover, DCAF's support to the institutionalization of the judicial benchbook on domestic violence in Bosnia and Herzegovina prompted the court president of Tuzla to appoint a staff member within the head of registry office to identify the application of misdemeanour proceedings in cases of domestic violence adjudicated at the court, while the president of the district court in Banja Luka appointed a judge with expertise on domestic knowledge to act as a judge rapporteur in all cases of domestic violence decided by the district court on appeal.

DCAF's support also contributed to increased democratic control of national security sectors through strengthening the role and capacity of parliament and ombuds institutions in exercising oversight of security institutions. For instance, in Kosovo the introduction of public hearings to track the implementation status of national rule-of-law strategies based on DCAF support enabled parliament to hold security institutions accountable more effectively by retrieving more accurate and timely information on the implementation of these policies by the security sector. Similarly, in Kosovo and Bosnia and Herzegovina, DCAF support contributed to parliamentary security and defence committees playing a more active role in security budget oversight through systematic exchange with security institutions on budget information and procurement processes. In addition, DCAF's promotion of good practices to ensure respect for the human rights and fundamental freedoms of armed forces personnel through ICOAF paved the way for the Dutch and German ombuds institutions conducing their first-ever joint inspections visit to their troops supporting the international peacekeeping operation in Mali, in consultation with the Mediator of the Republic of Mali as the ombuds institution of the host state. In the wake of the inspection mission, the Dutch ombudsman received his first-ever complaint from personnel actively stationed abroad. In the United Kingdom, DCAF's support in the framework of ICOAF contributed to the ombuds institution of the armed forces starting to apply its new legal mandate which entitles the institution to conduct formal investigations of complaints filed by armed forces personnel rather than monitoring them, as stipulated under its previous mandate.

Finally, the comparative analysis highlights that DCAF support contributed to CSOs increasingly cooperating with security institutions, shaping discourse on security issues and informing security policy-making. For example, following multistakeholder dialogues in Liberian border communities organized by DCAF, border forces in Lofa County started to cooperate actively with the local chapter of a regional women's CSO by inviting members of the organization to cross-border meetings and more openly sharing information with them. In Mali three CSOs partnered with professional training schools in the delivery of initial training on the role of civil society in SSG to personnel of the gendarmerie, police and the national guard, building on access to those institutions facilitated by,

and knowledge and skills enhanced or acquired through DCAF support. Moreover, a CSO in Mali used the toolkit for SSG/R in West Africa that provides practical guidance on the implementation of the normative framework on SSG/R of ECOWAS to raise awareness on SSG and train local members in the Segou, Mopti and Timbuktu areas, while another CSO in Burkina Faso used the toolkit in support of the annual planning meeting of the national early-warning system monitoring committee. In Kosovo, an independent policy research centre organized a number of meetings with stakeholders from the Ministry of Internal Affairs, the Labour Inspectorate, the Committee on Internal Affairs, Security and Supervision of the Kosovo Security Force, and PSCs to raise awareness on the private security landscape, relying on insights gained through research conducted with the support of DCAF. In Macedonia the two intelligence oversight committees of the national parliament approached a CSO that had acquired expertise in the area of intelligence governance through the development of a policy study on the subject, with the support of DCAF, to seek advice on future reform priorities linked to parliamentary oversight of the security sector.

In sum, DCAF has contributed to a wide range of medium- to long-term results in 2016 which span changes in legal, policy and regulatory frameworks, transformations of institutional arrangements and processes, modifications to training approaches, shifts in the salience of and compliance with international norms and good practices, including gender equality, and changes in the accountability and democratic oversight of national security sectors.

IV. CONCLUSION

Providing evidence on the achievement of results has become an ever more pressing concern in international development cooperation, in particular in fragile and conflict-affected contexts. Yet measuring results in the field of SSR is particularly challenging due to the mostly intangible nature of changes that underlie improvements in the governance of the security sector. To track progress towards results it is often necessary to monitor qualitative indicators that reflect changes in trust, attitudes, behaviour or perceptions, which are not easily understood, observed or measured. This is compounded by practical obstacles that may hamper the collection of valid and reliable data in the complex environments in which SSR takes place. **However, the two piloting phases of DCAF's RBM system have demonstrated that it is possible to monitor change rigorously in the area of SSG**. The introduction of RBM at the corporate level has enabled DCAF to document strategically important results more systematically, as well as to determine more accurately the extent to which its support has contributed to results.

This first-ever annual performance report is an important exercise in accountability to the national and international stakeholders with which DCAF partnered in 2016 to contribute to improved state and human security through inclusive and participatory reforms of national security sectors around the world. The report aptly demonstrates the positive effects that DCAF's support is having on SSG, in particular in some of the most fragile and conflict-affected regions. **Most importantly, it is testament to DCAF's firm commitment to establish RBM as a key guiding principle of its support**. As DCAF further advances in its process of transitioning towards a corporate approach to RBM, the commitment to contribute to the achievement of tangible results that have a measurable impact on the governance of the security sector will continue to be at the centre of all DCAF activities.

It is now just over two years since DCAF charted the course for its transition to RBM, and significant progress has been achieved. **With the publication of this report, DCAF successfully completed the two-phased piloting of the corporate RBM system**. The piloting not only proved to be an invaluable opportunity to identify and rectify challenges encountered in implementing the corporate monitoring system, but also yielded a number of preliminary insights on the effectiveness and sustainability of DCAF support. Through the significant increase in the number of monitoring reports that were collected in the second phase of piloting in 2016, DCAF was able to enhance the representativeness of the results reported, as well as to substantiate some of the findings emerging from the first phase of piloting.

In cooperation with national and international partners, DCAF contributed to a wide variety of tangible results in different regions across the globe, and the development of international policy and good practices. In 2016 DCAF's support frequently contributed to the development or revision of policy, legal and regulatory frameworks governing national security sectors. In a similar vein, DCAF assistance often translated into the establishment or improvement of institutional structures, procedures and modalities for the formulation and implementation of security policies, in particular at the national level. Moreover, DCAF assistance further contributed to enhancing national capacities to deliver professional training for security sector personnel in specific national contexts. Other important results were attained in the areas of democratic accountability and gender equality. DCAF support contributed to increased accountability of national security sectors through strengthening the role and capacity of parliament and civil society in exercising oversight of security institutions and exerting civilian influence on security dialogue and policy-making. At the same time, it provided the impetus for the increased integration of gender perspectives into the management of security services in selected countries.

While DCAF has made great strides towards establishing a corporate approach to RBM, it recognizes that implementing RBM is a long-term process that requires continual refinement and improvement. As the experience of other organizations illustrates, DCAF's transition to RBM will continue to be an incremental process that inevitably involves trial and error and unfolds in a series of iterative adjustments. Throughout the process, DCAF will emphasize learning by doing based on information and feedback from the practical application of the corporate monitoring system and internal policy research on M&E. For this reason, DCAF acknowledges that it will take multiple years to establish a comprehensive and methodologically rigorous RBM system that is fully integrated with management structures at both corporate and divisional levels.

At present, DCAF's transition to RBM has primarily focused on its function to enhance accountability towards its stakeholders, while less attention has been paid to using data and insights generated by corporate monitoring to improve strategic steering and reinforce lesson learning. **In the coming years one of the major challenges will be to foster reflection on and reporting of lessons to build a corporate body of knowledge that will be essential to improving the effectiveness and efficiency of DCAF support**. In this regard, it will be particularly important to break down barriers to sharing lessons derived from both success and failure. While the transition towards a corporate approach to RBM has encouraged the identification and dissemination of lessons grounded in positive experiences, past failures have been underexplored to date, even though they represent an invaluable source for learning. **Another priority for DCAF will be to enhance the role of RBM in strategic management through the establishment of management procedures that support the use of empirical evidence on results in decision-making processes**. Among other measures, this may include the consideration of performance information as an additional factor in shaping budgetary priorities.

In accordance with its vision to promote the delivery of more effective and accountable security services within a framework of democratic governance, the rule of law and human rights, **DCAF support in 2016 contributed to increased democratic governance of the security sector in different national contexts, as well as to strengthening the approaches of international partners in the provision of effective and coherent SSG/R support**. With this performance report DCAF concludes the piloting phase of the corporate RBM system and sketches out the way ahead for the mainstreaming of RBM across the organization. Building on the past achievements of the two-phased piloting, DCAF will seek to harness the potential of RBM more effectively to strengthen accountability, enhance strategic steering and improve lesson learning in the future.

V. ANNEX

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

Report of the statutory auditor
to the Foundation Council
on the financial statements 2016

pwc

Report of the auditor
to the Foundation Council of Geneva Centre for the Democratic Control of Armed Forces (DCAF)
Geneva

Report of the statutory auditor on the financial statements

As statutory auditor, we have audited the financial statements of Geneva Center for the Democratic Control of Armed Forces (DCAF), which comprise the balance sheet, profit and loss statement, cash flow statement, statement of changes in capital and notes, for the year ended 31 December 2016. As permitted by Swiss GAAP FER the information in the performance report is not required to be subject to the statutory auditors' examination.

Foundation Council's responsibility

The Foundation Council is responsible for the preparation and fair presentation of the financial statements in accordance with the requirements of Swiss GAAP FER, Swiss law and the foundation's deed and internal regulations. This responsibility includes designing, implementing and maintaining an internal control system relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error. The Foundation Council is further responsible for selecting and applying appropriate accounting policies and making accounting estimates that are reasonable in the circumstances.

Auditor's responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with Swiss law and Swiss Auditing Standards. Those standards require that we plan and perform the audit to obtain reasonable assurance whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers the internal control system relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control system. An audit also includes evaluating the appropriateness of the accounting policies used and the reasonableness of accounting estimates made, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements for the year ended 31 December 2016 give a true and fair view of the financial position, the results of operations and the cash flows in accordance with Swiss GAAP FER and comply with Swiss law, the foundation's deed and internal regulations.

Report on other legal requirements

We confirm that we meet the legal requirements on licensing according to the Auditor Oversight Act (AOA) and independence (article 83b paragraph 3 CC in connection with article 728 CO) and that there are no circumstances incompatible with our independence.

In accordance with article 83b paragraph 3 CC in connection with article 728a paragraph 1 item 3 CO and Swiss Auditing Standard 890, we confirm that an internal control system exists which has been designed for the preparation of financial statements according to the instructions of the Foundation Council.

We recommend that the financial statements submitted to you be approved.

PricewaterhouseCoopers SA

Marc Secretan   Alexandre Meugnot
Audit expert
Auditor in charge

Geneva, 26 April 2017

Enclosure:

- Financial statements (balance sheet, profit and loss statement, cash flow statement, statement of changes in capital and notes)

GENEVA CENTRE FOR THE DEMOCRATIC CONTROL OF ARMED FORCES

Balance sheet as at 31 December 2016

		2016 CHF	2015 CHF
ASSETS			
Cash and cash equivalents	3.1	5'798'432	7'841'524
Accounts receivable	3.2	975'564	528'947
Other receivables	3.3	200'747	422'519
Prepaid expenses and accrued income	3.4	33'955	5'120
Current assets		*7'008'698*	*8'798'110*
Total assets		*7'008'698*	*8'798'110*
LIABILITIES AND EQUITY			
Accounts Payable	3.5	479'459	489'422
Other Short Term Liabilities	3.6	138'211	178'633
Accrued Liabilities	3.7	566'910	425'456
Deferred Income		4'468'396	5'586'618
Current Liabilities		*5'652'976*	*6'680'129*
Initial Funds		50'000	50'000
Restricted Funds	3.8	517'578	717'128
Free Funds		788'144	1'350'853
Organisation Capital		*1'355'722*	*2'117'981*
Total liabilities and equity		*7'008'698*	*8'798'110*

GENEVA CENTRE FOR THE DEMOCRATIC CONTROL OF ARMED FORCES

Profit and loss statement for the year ended

31.12.2016		2016 CHF	2015 CHF
Contributions			
Public Contributions		22'491'099	23'712'981
Total Public Contributions		**22'491'099**	**23'712'981**
Other Income		1'533'977	1'118'054 1)
Total other Income		**1'533'977**	**1'118'054**
Operating Income	4.1	**24'025'076**	**24'831'035**
Expenses			
Project Expenses Divisions			
Core expenses (Division core + Brussels & Ljubljana)		2'759'415	3'157'055
Project expenses (All project expenses)	4.2	10'898'267	10'655'924
Total Project Expenses Divisions		**13'657'682**	**13'812'979**
Administration Expenses			
Salaries and Social Charges	4.3	8'631'204	7'975'912
Facilities	4.4	1'872'393	2'030'556
Administration+Maintenance & acquisitions	4.5	443'443	696'575
Governance / Director's Office	4.6	129'480	189'127
Total Administration Expenses		**11'076'520**	**10'892'170**
Operating Expense		**24'734'202**	**24'705'149**
Operating Result		**-709'126**	**125'886**
Financial Income		2	17'719
Financial Charges		-53'135	-
Result before Change of Free Capital		**-762'259**	**143'605**
Allocations / appropriations			
Restricted funds		199'550	-30'415
Free funds		562'709	-113'190
		-	-

1) Due to the reclassification of the financial income this figure changed

Cash flow statement as at 31 December 2016	2016 CHF	2015 CHF
Annual Result (before allocation to organisation capital)	**-762'259**	**143'605**
(Decrease) / Increase in deferred income	-1'118'222	-1'009'914
(Decrease) / Increase in accrued liabilities	141'454	63'009
(Decrease) / Increase in other short term liabilities	-40'422	43'785
(Decrease) / Increase in account paybles	-9'963	-543'524
Decrease / (Increase) in account receivables	-446'617	733'623
Decrease / (Increase) in other receivables	221'772	-208'210
Decrease / (Increase) in prepaid expenses and accrued income	-28'835	104'737
Cash Flow From Operating Activities	**-2'043'092**	**-672'889**
Cash Flow From Investment Activities	**-**	-
Cash Flow From Financing Activities	**-**	-
Change In Cash	**-2'043'092**	**-672'889**
Cash and cash equivalents at beginning of the year	7'841'524	8'514'413
Cash and cash equivalents at year end	5'798'432	7'841'524
Evidence Of Change In Cash	**-2'043'092**	**-672'889**

Notes to the financial statements

General information

The Geneva Centre for the Democratic Control of Armed Forces (DCAF) is one of the world's leading institutions in the areas of security sector reform (SSR) and security sector governance (SSG). DCAF provides in-country advisory support and practical assistance programs, develops and promotes appropriate democratic norms at the international and national levels, advocates good practices and makes policy recommendations to ensure effective democratic governance of the security sector.

DCAF was established in 2000 by the Swiss government and the head office is located in Geneva. DCAF is an international foundation with 63 Member States. DCAF's main divisions are Research, Operations Europe, Operations Middle East and North Africa, Operations Gender and Africa, Operations Public Private Partnerships, and ISSAT. The staff numbers over 150 employees from more than 30 countries. The Centre also has permanent offices in Brussels, Ljubljana, Beirut, Tunis and Ramallah.

Note 1 - Summary of significant accounting policies

The principal accounting policies applied in the preparation of these financial statements are set out below. To conform to the presentation adopted in the current year, certain amounts from prior year have been reclassified.

1.1 Accounting principles

DCAF prepares its accounts in compliance with the policies described in the following notes. As recommended by the Swiss Federal Audit Office the accounting policies applied are in compliance with the entire Swiss GAAP FER (Swiss Accounting and Reporting Recommendations). Last year's accounts were in compliance with Swiss GAAP FER 21. PricewaterhouseCoopers changed the audit team and the responsible auditors as recommended by the Swiss Federal Audit Office.

The accounts also comply with article 69a of the Swiss Civil Code. DCAF decided to also present the profit and loss statement for 2015 as comparatives figures. To render the figures comparable some reallocations were made to the profit and loss statement in 2015.

Information required by Swiss GAAP FER on the performance of DCAF, and not disclosed in the financial report, is included in the annual report.

The financial statements have been prepared under the historical cost convention. The income statement is presented using the classification of expenses by function. The statements are based on economic values and present a true and fair view of DCAF's assets, financial position and results of operations.

1.2 Foreign currency translation

(a) Functional and presentation currency
Items included in the financial statements were measured using the currency of the primary economic environment in which DCAF operates ('the functional currency'), which is Swiss Francs ("CHF"). The presentation currency is CHF.

(b) Transactions and balances
Foreign currency transactions are translated into functional currency using the exchange rates prevailing at the dates of the transactions.
Foreign exchange gains and losses resulting from the settlement of such transactions and from the translation at year-end exchange rates of monetary assets and liabilities denominated in foreign currencies are recognized in the income statement
Balances in foreign currency are revalued using exchange rates prevailing at the dates of closing.

1.3 Presentation

To conform to the presentation adopted in the current year, certain amounts from the prior year have been reclassified.

Note 2 - Principles of valuation

2.1 Cash and cash equivalents

Cash and cash equivalents include cash and balances in bank accounts. They are valued at their nominal value.

2.2 Accounts receivable

Accounts receivable are amounts due from parties for services performed in the ordinary course of business. If collection is expected within in one year or less (or in the normal operating cycle of the business if longer), they are classified as current assets.
These receivables are valued at their nominal values. Credit default risks are accounted for by specific and general allowances. General allowances are recognized for items that have not yet been considered with a specific allowance. The general allowance is based on the assumption that the default risk increases as the debt becomes increasingly overdue.

2.3 Provisions

Provisions are recognized if an event in the past gives rise to a justified, likely obligation which is of uncertain timing or amount, but which can be estimated reliably. Provisions are measured on the basis of the estimated amount of money required to satisfy the obligation.

2.4 Trade payables and other liabilities

Trade payables are obligations to pay for goods or services that have been acquired in the ordinary course of business from suppliers. Accounts payable are classified as current liabilities if payment is due within one year or less. If not, they are presented as non-current liabilities.
Trade payables and other liabilities are stated at their nominal values.

2.5 Employee benefits

Wages, salaries, social contributions, paid annual leave, sick leave and other benefits are paid or accrued undiscounted in the year in which the associated services are rendered by employees. Legal or constructive obligations such as bonus are recognized for the amount expected to be paid in the year the services are provided.

DCAF is a member of a collective occupational pension that fully insures the risks with an Insurance Company. This pension scheme is financed by employer and employee contributions.

2.6 Leasing

Leases in which a significant portion of risks and rewards of ownership are retained by the lessor are classified as operating leases. Payments made under operating leases (net of any incentives received from the lessor) are charged to the income statement on a straight line basis over the period lease.

3.1 Cash and Cash Equivalents

	2016 CHF	2015 CHF
Petty Cash	12'537	20'435
Post finance	21'454	696'437
Bank accounts	5'764'441	7'124'652
Total Cash and Cash Equivalents	**5'798'432**	**7'841'524**

The cash balance decreased as less project funding was received in 2016.

3.2 Accounts Receivable

	2016 CHF	2015 CHF
Unpaid rent OMM	64'214	49'323
Accrued Income	911'350	479'624
Total Accounts Receivable	**975'564**	**528'947**

The accounts receivables increased due to the late payments of the donors and the Zurich insurance received in 2017

3.3 Other receivables

	2016 CHF	2015 CHF
Bank Guarantees	10'460	37'784
Other receivables	2'180	8'490
Funds advanced	158'228	319'271
Intercompay accounts Ljubljana	14'013	30'535
Salary Advances	15'866	26'439
Total Other receivables	**200'747**	**422'519**

The other receivables decreased due to the lower balance of the cash advance to the external project menagers and the reimbursement of CHF 79'272 by DCAF Ljubljana

3.4 Prepaid expenses

	2016 CHF	2015 CHF
Prepaid expenses	**33'955**	**5'120**

The prepaid expenses increased due to prepayment to DCAF Ljubljana

3.5 Accounts Payable

	2016 CHF	2015 CHF
Accounts Payable	443'259	400'520
Staff expenses	36'200	88'902
Total Accounts payable	**479'459**	**489'422**

3.6 Other Short Term Liabilities

	2016 CHF	2015 CHF
Social charges Switzerland	38'543	118'229
Pension fund Ramallah	53'114	38'452
Others	46'554	21'952
Total Other Short Term Liabilities	**138'211**	**178'633**

The decrease in other short term liabilities is due to the lower final invoice of OCAS

3.7 Accrued Liabilities

	2016 CHF	2015 CHF
Short Term Accruals	240'658	70'474
Accrued Vacations	326'252	354'982
Total Accrued Liabilities	**566'910**	**425'456**

The increase of the short term accruals is due to the late payments of 2016 expenses in Ramallah. The number of days of accrued vacation decreased

3.8 Statement of changes in capital

	1	2	3	4	5	6
2014	**Initial Funds**	**Special Reserve**	**Accumulated Surplus**	**Restricted Funds**	**Free Funds**	**Total**
Reserves as of 01. January 2014	50'000	2'460'000	95'238	-	-	2'555'238
Dissolution 2014	-	-700'000	-	-	-	-700'000
Profit / Loss 2014	-	-	69'138	-	-	69'138
Reserves as of 31. December 2014 before change to Swiss GAAP FER 21	**50'000**	**1'760'000**	**164'376**	**-**	**-**	**1'974'376**
2015						
Change to Swiss GAAP FER 21	-	-1'760'000	-164'376	686'713	1'237'663	-
Reserves as of 31. December 2015 after change to Swiss GAAP FER 21	**50'000**	**-**	**-**	**686'713**	**1'237'663**	**1'974'376**
Dissolution 2015	-	-	-	-163'935	-	-163'935
Attribution 2015	-	-	-	194'350	113'190	307'540
Reserves as of 31 December 2015	**50'000**	**-**	**-**	**717'128**	**1'350'853**	**2'117'981**
2016						
Dissolution 2016	-	-	-	-199'550	-562'709	-762'259
Attribution 2016	-	-	-	-	-	-
Reserves as of 31 December 2016	**50'000**	**-**	**-**	**517'578**	**788'144**	**1'355'722**

4.1 Revenues 2016

Switzerland

	2016 CHF				2015 CHF		
	Deff income 2015 - 2016	Income received - 2016	Deff income 2016 - 2017	Net 2016	Gross 2015	Deff income 2015 - 2016	Net 2015
DFAE - Core funding	-	11'250'679	-	11'250'679	10'961'322	-	10'961'322
SWI DFAE - Project funding (I)	1'847'664	2'324'852	1'716'286	2'456'230	3'774'637	1'847'664	1'885'792
DDPS - Project funding	332'742	450'938	140'039	643'641	793'722	332'742	502'161
Total Switzerland	**2'180'406**	**14'026'469**	**1'856'325**	**14'350'550**	**15'529'681**	**2'180'406**	**13'349'275**

Other Member States

	Deff income 2015-2016	Income received - 2016	Deff income 2016-2017	Net 2016	Gross 2015	Deff income 2015-2016	Net 2015
Albania	-	10'783	-	10'783	10'901	-	10'901
Austria	-	44'156	-	44'156	33698	-	33698
Azerbaijan	-	-	-	-	48668	-	48668
Bonsia and Herzegovina	-	10'841	-	10'841	22'539	-	22'539
Bulgaria	-	11'024	-	11'024	7233	-	7233
Czech Republic	937	-	937	-	937	937	-
Denmark through NDI	5'109	136'621	1740	139'990	237688	5'109	232'579
Estonia	-	5421	-	5421	5472	-	5472
Finland	-	-	-	-	30871	-	30871
France	80917	97'047	97'047	80'917	125466	80'917	44'549
Germany	-	2'368'729	344'144	2'024'585	41'258	-	41'258
Hungary	-	10'841	-	10'841	11011	-	11'011
Ireland	-	215'660	-	215'660	158'160	-	158'160
Latvia	27'588	21'566	29'253	19'902	27'588	27'588	-
Liechtenstein	5036	40'000	-	45'036	46'000	5036	40'964
Luxemburg	282'938	382'797	452'738	212'996	414'254	282'938	131'316
Macedonia	-	21'717	-	21'717	21'717	-	-
Moldova	-	43'608	-	43'608	11'011	-	11'011
Montenegro	-	10'701	-	10'701	10'943	-	10'943
Netherlands	308'987	743'578	148'599	903'966	914157	308'987	605'170
Norway	337'663	554'429	188'317	703'775	1'534'974	337'663	1'197'311
Romania	-	10'841	-	10'841	32'829	-	32'829
Serbia	-	33'456	-	33'456	-	-	-
Slovakia	13653	77'016	10'783	79'886	23102	13653	9449
Slovenia	2611	-	2'611	-	10'337	2611	7726
Spain	139'759	-	66'394	73'365	139759	139'759	-
Sweden	123'352	11'140'808	162'654	11'101'506	1'351'457	123'352	1'228'105
United Kingdom	-	351'759	4'143	347'616	362'825	-	362'825
US State Department	-	282'928	4'158	278'769	103'977	-	103'977
Others	151'568	424'249	99'833	475'984	333'596	151'568	182'028
ISSAT Core Accruals	756'525	-	696'014	60'511	-	756'525	-756'525
Transitories	756'039	6'153	80'432	681'761	6'285'564	756'039	5'529'525
Total Other Member States	**2'992'681**	**7'056'727**	**2'389'796**	**7'659'614**	**12'336'276**	**2'992'681**	**9'343'593**

Total Switzerland & Other Member States	**5'173'087**	**21'083'196**	**4'246'121**	**22'010'164**	**27'865'957**	**5'173'087**	**22'692'868**

	2016 CHF				2015 CHF		
Total Income Switzerland & Other Member States	5'173'087	21'083'196	4'246'121	22'010'164	27'865'957	5'173'087	22'692'868
	Deff income 2015-2016	Income received - 2016	Deff income 2016-2017	Net 2016	Gross 2015	Deff income 2015-2016	Net 2015
International Organisations							
EU European Union	404'900	156'685	214'486	347'099	1'189'819	404'900	784'919
OIF	1'914	55'483	-	57'396	13'161	1'914	11'247
NATO	-	44'327	1'072	43'255	101'695	-	101'695
UN	6'717	33'185	6'717	33'185	128'970	6'717	122'253
Total International Organisations	413'531	289'679	222'275	480'935	1'433'645	413'531	1'020'114
Total Public contributions	5'586'618	21'372'875	4'468'396	22'491'099	29'299'602	5'586'618	23'712'980
Other Income							
Insurance reimbursements	-	143'662	-	143'662	23'927	-	23'927
Rent Avenue Blanc 49	-	-	-	-	48'000	-	48'000
Office Space Rent at WMO/OMM	-	828'329	-	828'329	682'312	-	682'312
Other	-	23'625	-	23'625	17'351	-	17'351
Overhead Income	-	474'859	-	474'859	346'463	-	346'463
Extra Ordinary Income	-	63'502	-	63'502	-	-	-
Total Cash Income	5'586'618	22'906'853	4'468'396	24'025'076	30'417'656	5'586'618	24'831'035
Interest							
Interest received	-	2	-	2	302	-	302
Total Interest	-	2	-	2	302	-	302

4.2 Project Expenses	2016 CHF	2015 CHF
Deputy Director's Office		
Core	109'762	139'241
Projects	944'438	819'702
	1'054'200	**958'943**
Operations I Southeast Europe		
Core	321'460	313'009
Projects	1'337'696	1'646'614
	1'659'156	**1'959'623**
Operations Middle East and North Africa		
Core	59'508	151'235
Projects	3'379'530	2'453'419
	3'439'038	**2'604'654**
Operations III Sub-Saharan & Gender and SSR		
Core	219'997	203'944
Projects	1'350'932	2'159'535
	1'570'929	**2'363'479**
Operations IV Public-Private Partnership		
Core	51'671	70'202
Projects	631'591	815'152
	683'262	**885'354**
International Security Sector Advisory Team (ISSAT)		
Core	1'773'627	2'029'342
Projects	1'064'223	459'297
	2'837'850	**2'488'639**
Research Division		
Core	130'465	157'239
Projects	394'898	845'648
	525'363	**1'002'887**
DCAF Projects		
Projects	1'794'959	1'456'557
	1'794'959	**1'456'557**
DCAF Brussels	**10'236**	11'924
DCAF Ljubljana	**82'689**	80'919
Total Divisions and Offices	**13'657'682**	**13'812'979**
Total Core expenses	**2'759'415**	**3'157'055**
Total Project expenses	**10'898'267**	**10'655'924**
Total Project expenses less Project Salaries + Director's Indemnity up to 30.06.16	**8'898'032**	**8'291'398**

	2016 CHF	2015 CHF
Administration Expenses		
Total Project expenses less Project Salaries + Director's Indemnity up to 30.06.16	**8'898'032**	**8'291'398**

4.3 Personnel

Project Salaries

	2016 CHF	2015 CHF
Salaries	4'066'610	4'766'670
Social charges	602'123	653'013
Other staff expenses	114'677	149'419
Total Personnel	**4'783'410**	**5'569'102**

Core Salaries

	2016 CHF	2015 CHF
Salaries	7'337'887	6'745'619
Social charges	1'218'327	1'142'294
Other staff expenses	74'990	87'999
Total Personnel	**8'631'204**	**7'975'912**
Total Salaries	**13'414'614**	**13'545'014**

The average number of full time employees isn't over 250.

4.4 Facilities

	2016 CHF	2015 CHF
Facilities	1'872'393	2'030'556
Total Facilities	**1'872'393**	**2'030'556**

4.5 Administration / Maintenance & Acquisitions

	2016 CHF	2015 CHF
Maintenance & acquisition of assets	139'766	347'032
Administration	303'677	349'542
Total Administration / Maintenance & Acquisitions	**443'443**	**696'574**

4.6 Governance / Director's Office

	2016 CHF	2015 CHF
Statutory bodies	28'216	72'975
Director's Indemnity up to 30.06.2016	23'760	47'520
Director's office General Expenses	77'504	68'632
Total Governance / Director's Office	**129'480**	**189'127**
Total Administration Expenses less project salaries	**11'076'520**	**10'892'169**
Total Operating Expenses	**24'734'202**	**24'705'149**

Note 5 - Additional note disclosures in accordance with article 663b CO and 69 CC

Lease commitments not recorded in the balace sheet
As of 31 December, DCAF had the following future aggregate minimum lease payments under non-cancellable operating lease for office equipment and office rent, which are not required to be reflected in the balance sheet:

	2016 CHF	2015 CHF
Payments to be made within one year:	1'413'517	1'413'517
Payments to be made after one year:	12'571'669	13'985'186
	13'985'186	**15'398'703**

Amounts due to pension funds

	2016 CHF	2015 CHF
Pension liabilities	4'704	18'516
	4'704	**18'516**

Note 6 - Other note disclosures

Compensation and expense reimbursments to Council members and directors	2016 CHF	2015 CHF
Annual salary of the director	218'959	325'000

Assurance

Geneva Centre for the Democratic Control of Armed Forces (DCAF)
Detailed report to the Foundation council for the year ended 31 December 2016

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To the Foundation council
of the Geneva Centre for
Democratic Control of
Armed Forces (DCAF)
Chemin Eugène-Rigot 2
1202 Geneva

26 April 2017

Dear Members of the Foundation council,

We have completed our audit of the financial statements of Geneva Centre for Democratic Control of Armed Forces for the year ended 31 December 2016. The audit was performed in accordance with our engagement letter of 30 September 2016. Our report to the meeting of the Foundation Council contains no qualifications or references to violations of the law.

The detailed report to the Foundation council contains our major findings regarding the accounting, the internal control system and the execution and results of our audit (Art. 728b para. 1 Code of Obligations).

Our audit was performed in accordance with Swiss Auditing Standards. These standards require that an audit be planned and performed in such a manner as to obtain reasonable assurance that the financial statements are free from material misstatement.

We discussed a draft of this report with Mr Thomas Gürber and Mr Daniel Mueller. Please feel free to contact us should you need further information on any aspects of this report.

We should like to thank management and the staff of Geneva Centre for Democratic Control of Armed Forces for the support provided to us during our audit.

Yours faithfully,

PricewaterhouseCoopers Ltd

Marc Secretan   Alexandre Meugnot

Audit expert
Auditor in charge

Distribution to:

Members of the
Foundation council

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Executive Summary

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Executive Summary

We have submitted our report on the financial statements without qualification or comment. The following table summarises the most significant findings made during our audit of the financial statements 2016. A red or yellow symbol indicates a need for action:

Execution and results of the audit	• We have submitted our report on the financial statements without any qualification or comment. We recommend that the financial statements submitted to the meeting of the Foundation Council be approved. • We have discussed all material issues and findings resulting from our audit of the financial statements with management (see Section 2).	●
Internal control system (ICS) findings	• The ICS was considered in our planning of the audit. Furthermore, we will confirm the existence of the ICS on the basis of the results of our audit in our audit report. We have included suggestions for improvements to the ICS in Section 3 and Appendix 1).	●
Identified misstatements	• No misstatement were identified in performing the audit could have a significant impact on the closing process or the annual financial statements.	●
Fraud and suspicion of fraud	• In the 2016 audit, we did not identify any suspected or actual fraud.	●
Quality of application of Swiss law	• During our final audit, we did not identify any findings regarding the quality of the accounting or of the financial statements presentation under Swiss GAAP FER. • Our comments on the application of accounting are contained in Section 2.	●
Matters to be reported	• This report contains our major findings regarding the accounting, the internal control system and the execution and results of our audit (article 83b paragraph 3 CC in connection with art. 728b para. 1 Code of Obligations).	●

▲   There is a material deficiency. The Foundation Council and/or management needs to take action.

■   There is room for improvement which should be implemented by either the Foundation Council or management.

●   The results meet our expectations; in our opinion, there is no need for action.

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Section 2
Execution and Findings of the Audit

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Performance and results of the audit (cont'd)

Position

Management could invalidate regulations, directives and controls.

Judgements and estimates made by management

Management has anti-fraud measures in place. Thanks to the entity level controls in place the risk of management override is reduced. The supervisory role of the Management and Foundation council include the assessment of this risk.

Significant risks

Management could invalidate or override controls, regulations or directives or could even manipulate figures in the annual financial statements.

Audit approach

- Audit of compliance with accounting standards and controls.

- Journal Entries Testing.

- Analytical reviews.

- Test of immaterial items.

Audit results/PwC conclusion

On the basis of our tests, we found no evidence that management had invalidated or overridden regulations, directives or controls.

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Performance and results of the audit

Position

Operating Income

in CHF thousands	2016	2015
Public Contributions	22'491	23'713
Other income	1'534	1'118
Total	**24'025**	**24'831**

Judgements and estimates made by management

The risk that contribution revenue is misstated due to fraud is mitigated by the controls integrated in the revenue process. Contributions from donors are recognised when they have been received or confirmed in writing by pledges and when there is reasonable assurance that they will be received.

Significant risks

- There is a risk that sales revenue is misstated due to fraud.

- There is a risk that sales revenue is not recognised in accordance with Swiss GAAP FER requirements, and that the cut-off point at which risks and rewards are transferred is not correctly reflected in the financial statements.

Audit approach

- Analytical reviews: year-over-year comparison of financial data.

- Substantive testing of contribution received (control of the donor funding agreements, the bank statements) and other operating income (various supporting documentation depending on the nature of the income and bank statements).

Audit results/PwC conclusion

Our audit provided no evidence of deviations from the applied policy.

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Performance and results of the audit

Position

Operating Expenses

in CHF thousands	2016	2015
Project Expenses Divisions	13'657	13'813
Administration Expenses	11'077	10'892
Total	**24'734**	**24'705**

Judgements and estimates made by management

Expenditure is recognised in the financial statements on an accrual basis. Contributions to third parties paid out of Project Funds are recognised when the commitment to pay has been made before the end of the year and the payment relates to the current year, and when there is either a legal or constructive obligation to pay. Contributions to third parties paid out of Project Funds close to the year-end are recognised as prepayments when matched with budgeted donor contributions for the following financial year.

Significant risks

One of the main risks for a not-for-profit foundation is the incorrect utilisation of donations received.

Audit approach

- Analytical reviews: year-over-year comparison of financial data.

- Test that salary costs of project staff were correctly charged to the projects on the basis of activity-based costing.

- Testing of project expenditures. We checked that the expenditure were correctly allocated to the projects.

Audit results/PwC conclusion

Based on our performed audit procedures, we did not find any exceptions. The allocation of salary costs and expenditures appears to be reasonable and the calculation accurate.

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Performance and results of the audit

Position	
Payroll Costs	

in CHF thousands	2016	2015
Salaries	13'415	13'545
Total	**13'415**	**13'545**

Judgements and estimates made by management

Salaries include regular compensation to employees for services provided during the period, the related social charges and the various allowances (honorarium...). This position also includes reimbursements from insurance policies.

Significant risks

- Risk of misstatement of staff costs.

- Risk that regular social security deductions are not recorded.

Audit approach

- Analytical reviews: year-over-year comparison of Staff costs and social charges.

- We obtained summary of payroll account balances and tested the mathematical accuracy of the summary.

- We performed a reconciliation between the accounting system (Navision) and the payroll sub-system.

Audit results/PwC conclusion

Based on our testing, we did not find any exception.

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Performance and results of the audit

Position

Organisation Capital

in CHF thousands	2016	2015
- Initial funds	50	50
- Restricted funds	518	717
- Free funds	788	1'351
Total	**1'356**	**2'118**

Judgements and estimates made by management

Initial and Free Funds represent amounts received from donors and Restricted for use within a project or activity to which they are credited. A reduction in these funds does not represent a loss but the appropriation (use) of funds for the purposes for which they were intended. An increase represents an allocation of a contribution received and available for a specific use.

Significant risks

- Project funds and Foundation capital are not correctly reconciled and justified.

- Movements (allocations, appropriations) are not validated according to donor agreements, bank statements and approved budgets.

Audit approach

- We reconciled the movement of free capital and restricted funds.

- Tests the allocations and appropriations of project funds

Audit results/PwC conclusion

The movements in funds have been validated.

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Section 3
Material Internal Control System Findings

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Material internal control system findings

Overall assessment of the audit of the ICS existence

Processes	Planned rotation			Assessment
	2016	2017	2018	2016
Entity-level controls	◆	◆	◆	🟢
IT General Controls	◆	◆	◆	🟢
Finance	◆	◆		🟢
Funding	◆	◆		🟢
Payroll		◆	◆	
Project Management		◆	◆	

Assessment of the ICS existence

Risk that the identified control deficiencies could lead to material misstatement in the financial statements:

🔺 High

🟨 Middle

🟢 Low (or no control deficiencies)

- Significant processes not covered in the audit (rotation principle)

◆ Significant processes covered in the audit

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Material internal control system findings (cont'd)

Auditing the existence of an ICS

Audit procedures related to the ICS have to be performed by law. These procedures within the scope of the ICS existence audit are designed to make an assessment concerning the design and implementation of the ICS.

The preceding table gives a summary assessment of the control deficiencies identified within the scope of the ICS existence audit. A detailed overview of the ICS existence audit findings which are the basis of this overall assessment are included in Appendix 1.

Based on our audit results we will issue a positive audit opinion on the existence of the ICS. Our audit opinion is based on the assessment of the existence of those systems and internal controls of your company which we have included in our audit scope during the audit planning. The assessment of the ICS existence does not imply a confirmation as to whether the controls continue to operate correctly and therefore are effective in achieving the ICS objectives. The audit procedures performed by us do not cover all entity-level controls, process controls and IT General Controls.

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Appendix 1
Material Internal Control System Findings (Detail)

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Material internal control system findings (detail)

Summary of the ICS findings

Based on our audit procedures performed, we are able to issue to the general meeting a positive opinion on the existence of an ICS. Nevertheless, during our audit we have identified weaknesses and control deficiencies regarding the design and implementation of the controls ordered by management, on which we will provide details in this appendix.

For our audit opinion on the ICS existence, only our findings regarding the existence of the ICS are relevant, and not our findings concerning the effectiveness of the internal controls. Nevertheless, we think that these findings represent are important information for the Foundation Council

We have structured the details of our material ICS findings on the following pages in control deficiencies and in other material findings of the reporting period and of the previous year.

Control deficiencies identified (ICS existence)

In terms of the assessment of the ICS existence, a control deficiency exists if a required control does not exist, if it cannot achieve the objective of the ICS owing to poor design or if it has been designed appropriately but not properly implemented.

Other material ICS findings

The other material ICS findings relate mainly to the effectiveness and efficiency of the ICS and/or indicate possibilities for improving business processes. In order for a control to be regarded as effective it has to function continuously and as intended.

Legend

Risk that the identified control deficiencies could lead to material misstatements in the financial statements:

▲ High, immediate action required

■ Medium, moderate impact on the achievement of the objectives

● Low or possibility for improvement of processes

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New findings related to 2016 and follow up 2015

No.	Issues/Audit areas	Risks/Priorities	Recommendations	Management comments and proposed actions	Deadlines/Responsible
Core Activities					
1	No findings 2016 and no follow up 2015				

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