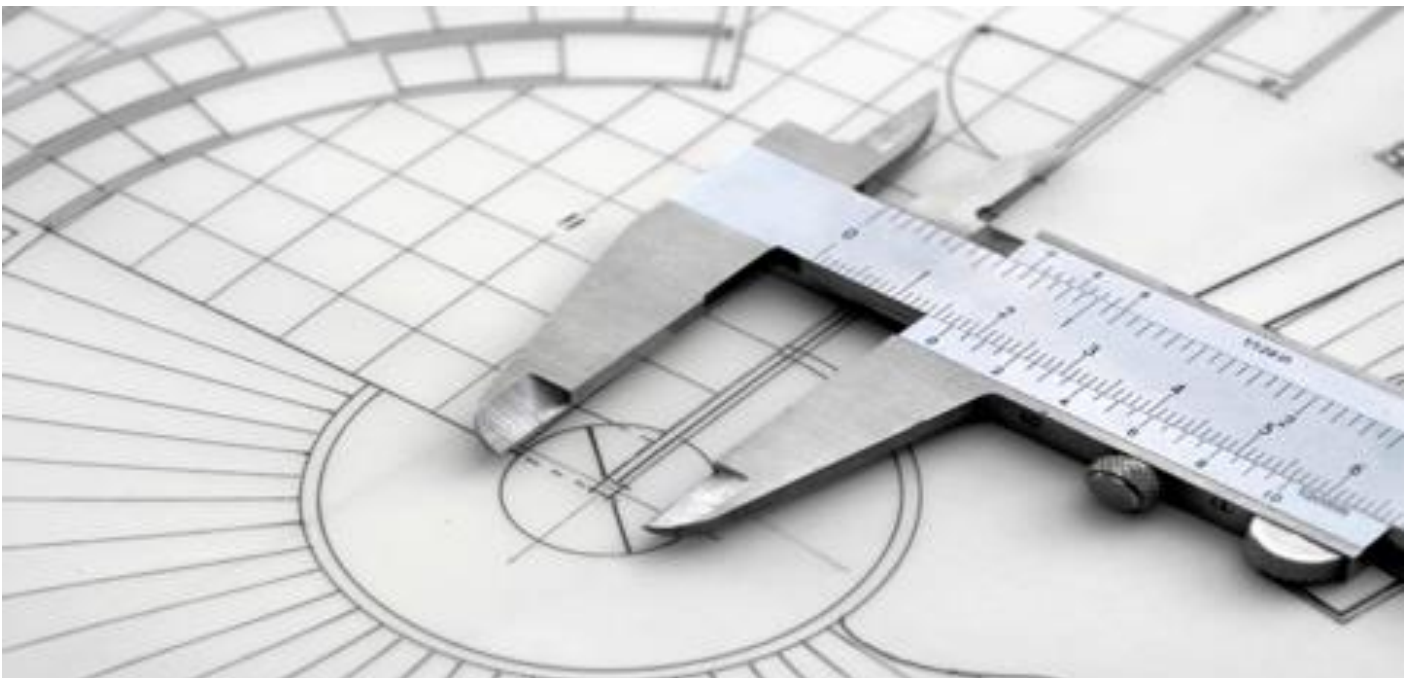


SECURITY SECTOR GOVERNANCE ASSESSMENT

**Evaluation guide with indicators,
measurement methods, and a case study**



Vadim Enicov

DCAF - Geneva Centre for Security Sector Governance

About DCAF

DCAF – Geneva Centre for Security Sector Governance, is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, respect for human rights, and gender equality. Since its founding in 2000, DCAF has contributed to making peace and development more sustainable by assisting partner states, and international actors supporting these states in improving the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practises, provides legal and policy advice, and supports capacity-building of both state and non-state security sector stakeholders. DCAF's Foundation Council members represent over 50 countries and the Canton of Geneva. Active in over 70 countries, DCAF is internationally recognized as one of the world's leading centres of excellence for security sector governance (SSG) and security sector reform (SSR). DCAF is guided by the principles of neutrality, impartiality, local ownership, inclusive participation, and gender equality.

About this guide

This study is part of DCAF's project on Strengthening Security Sector Governance in Moldova. DCAF advises security and oversight institutions in Moldova - Parliament of the Republic of Moldova, Supreme Security Council (SSC), Ministry of Internal Affairs (MIA), General Police Inspectorate (GPI), and Civil Society Organizations to enhance stability, rule of law, and security for the state and its citizens, as well as to acquire citizen trust in the state. Changes in the security environment must be monitored, fixed, and adjusted to current needs. Periodic, objective, and reasoned evaluation demonstrates the quality of the changes and helps specify the direction of progress. The Security Sector Governance Assessment must respond to security needs, uncover weak links, and promote successful practises. The guide constitutes a knowledge product that contributes to security sector governance and reform.

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Notes

The opinions expressed in this publication are those of the author and do not reflect the opinions or views of the Swedish International Development Cooperation Agency. The case study is presented for illustrative purposes.

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Introduction

Security sector governance is a complex phenomenon that requires permanent updating of the legal framework, concretisation of processes for performing new tasks, and continuous development of human capabilities. The interaction of these three factors: norms, processes and people create the environment for security and development.

Changes in the security environment must be monitored, fixed, and adjusted to current needs. Periodic, objective, and reasoned evaluation demonstrates the quality of the changes and helps specify the direction of progress. This is the purpose of the evaluation.

The Security Sector Governance Assessment must respond to security needs, uncover weak links, and promote successful practises.

The guide is addressed to experts in security sector governance (SSG). The assessment guide provides indicators and quantification methods, formulates relevant questions that can support the evaluation, and suggests some sources of information based on a case study of Moldova.

Quantitative and qualitative research methods are suggested for assessing compliance with the principles of good governance in the security sector.

What is the Security Sector. Components

The security sector represents many entities with different forms of establishment, organisation, and control, divided into components of security provision and components of management and supervision, which interact with each other¹.

The components of the security sector comprise a wide spectrum of institutions, authorities, and organisations, which can be generically and conditionally called entities. The components democratically constituted by the adoption of the Constitution assume the powers of legislative, executive, or judicial; others in turn are set up by these authorities to perform the policies and tasks formulated; civil society operates based on fundamental rights of access to information, association, and participation in government.

COMPONENTS OF THE SECURITY SECTOR ARE DIVERSE BY TASKS, ORGANIZATION, AND CONTROL. THESE INCLUDE:

1. SECURITY PROVIDERS
2. MANAGEMENT AND SUPERVISORY ENTITIES

Providing security, managing security, and exercising oversight are essential to ensure good governance.

Security providers or basic components² of the security sector in Moldova are: Armed Forces; Public Order through internal affairs bodies – Police, Border Police, and Carabinieri, and through State Protection and Guard Service; Intelligence Service; and Private Security Companies.

¹ More about the security sector, its role and responsibilities in providing security, management and oversight in: Geneva Centre for the Democratic Control of Armed Forces, The security Sector, SSR. Backgrounder Series. Geneva: DCAF. 2015. Access: <https://www.dcaf.ch/security-sector-roles-and-responsibilities-security-provision-management-and-oversight>

² More about security providers in the DCAF Backgrounder SSR series. Armed Forces. Police. Carabinieri. Intelligence Services. Private Security Companies. 2015 – 2023. Access: <https://www.dcaf.ch/resources?type=publications&id=2719>

Armed Forces are a military security entity, probably the only one fully dedicated to the security sector; like others, they can and should be assessed in terms of compliance with each of the principles of good governance: Accountability, Transparency, Legality, Participation, Responsiveness, Efficiency, Efficacy.

Public Order through internal affairs bodies – Police, Border Police, and Carabinieri and through State Protection and Guard Service (SPPS); having an extremely important role in preserving the proper functioning of society; however, not all its responsibilities are up to the level of national importance in ensuring security; Police, Carabinieri, and Border Police are the main components in this respect, as well State Protection and Guard Service also perform tasks of national importance; requires careful assessment of the tasks of national, state, or human security. Although it is mentioned in some legal regulations as a state security body, for the purposes of the SSG Assessment, the Customs Service will not be quantified as a security provider.

Intelligence service is almost entirely dedicated to the state security and certain aspects of national security; The primary role belongs to the Security and Intelligence Service (SIS); although some important functions also perform subdivisions of defence and foreign affairs, will be evaluated only SIS activity.

Private security companies exercise security functions and, under certain circumstances, can play a major role in ensuring security at the national level; will be assessed as a whole, per sector.

Management and supervision components³ are multiple and diverse: the Government; the President and the Supreme Security Council; Parliament and specialised standing committees; the Court of Auditors; National Centre for Personal Data Protection; Ombudsman; Judicial Courts and Prosecutor's office; and Civil Society.

In the context of the security sector governance (SSG) assessment, the responsibilities of entities directed to the management and supervision of security from those directed to other values of democratic society, such as democracy, justice, human rights, and others, must be differentiated.

Executive Control - Government, as the executive branch, administers all the affairs of the state, but in the context of the SSG assessment, those that affect the management of security will be quantified; through government decisions or policies implemented, including through the Ministries of Defence and Internal Affairs. Although they have the

³ More on the different components of the security sector in the DCAF Backgrounder SSR series. Parliament. Executive. Judicial authority. Ombudsman. Other. 2015 – 2023. Access: <https://www.dcaf.ch/resources?type=publications&id=2719>

status of supreme security authorities, the President, Government and Ministries will be assessed in the context and through the work of the Government.

President – Head of State, as a part of the executive power, has various responsibilities, although a large part is attributed to ensuring security, in the first military, as Supreme Commander of the Armed Forces, but not only; important matters within the President's responsibilities are consulted in the Supreme Security Council (SSC).

Parliamentarian oversight - Parliament, its functions, and area of activity cover practically all areas of activity of the society, but in the context of the evaluation of the SSG, only those directed towards security management and oversight will be quantified. In this context, the Committee on National Security, Defence and Public Order and the Subcommittee for oversight of the Security and Intelligence Service will be evaluated.

Independent entities: The Court of Accounts controls the management of public finances, including those in the security sector. These responsibilities will be assessed.

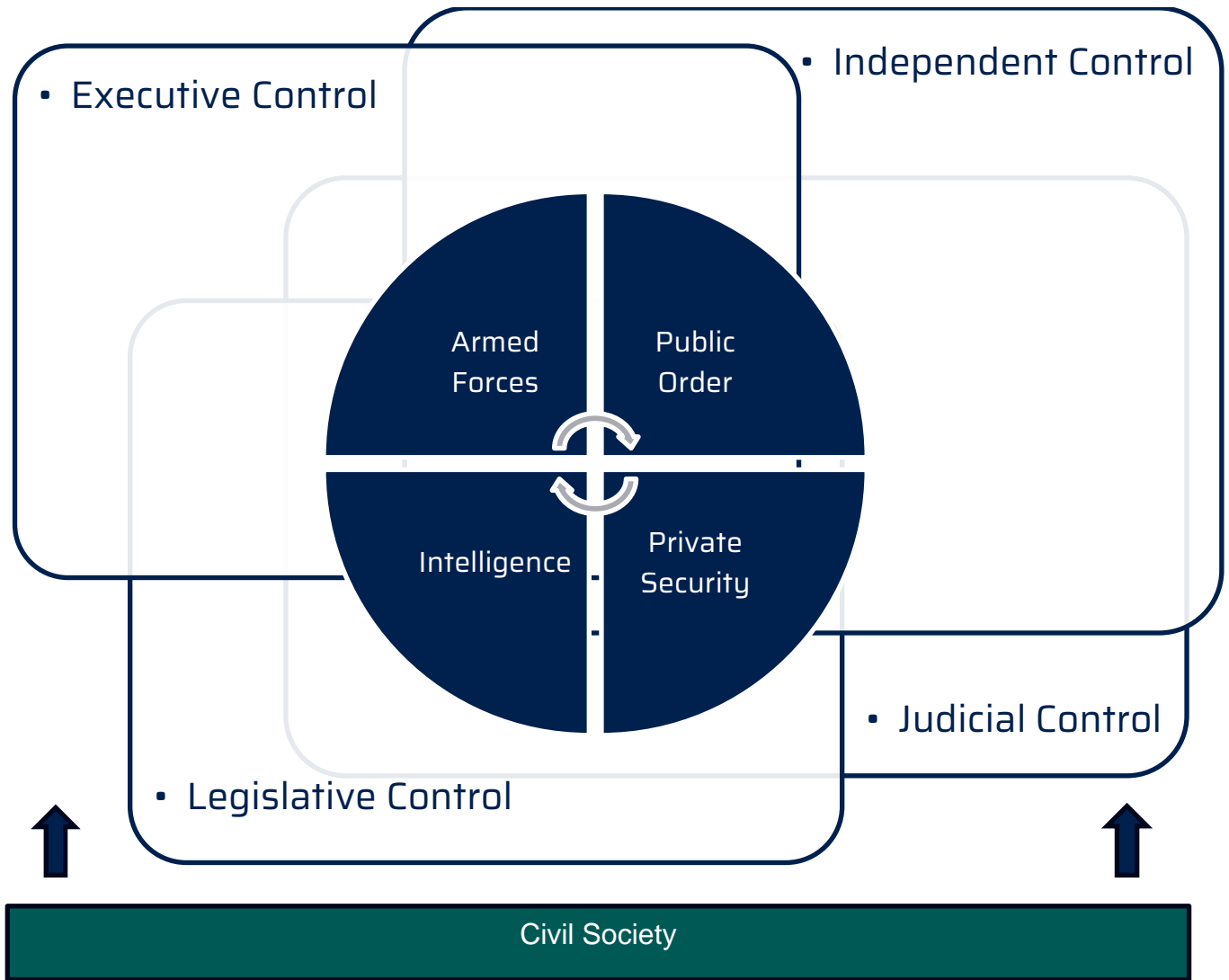
The National Centre for Personal Data Protection is an important entity for the proper functioning of the security sector, oversight, and control. The activity related to compliance with the principles of good governance is to be evaluated.

The People's Advocate (Ombudsman) primarily exercises responsibilities for the protection of human rights, and an essential part of them is related to the security sector, especially respect for rights in the Armed Forces and Home Affairs Bodies, when they may essentially affect national security.

Judicial courts generally concern themselves with the delivery of justice, but most of these functions will not be evaluated in the context of the SSG. It is also of major importance to quantify the functions related to the authorisation of special investigative measures of law enforcement bodies or the intelligence service. It is also important to administer justice in cases of particular importance for national security, the state or public order.

The Prosecutor's Office has important powers to control compliance with laws, especially criminal ones, by other entities in the security sector; compliance with the principles of good governance in the exercise of these duties will be assessed in the context of Judicial courts.

Civil Society is diverse and widespread, both by the areas covered and by the number of actors involved. Compliance with the principles of good governance is to be assessed for civil society concerned with the security sector, including Civil Society Organizations, independent experts, academia, media, and other forms of activism. The evaluation will be done in general, on a whole sector basis.

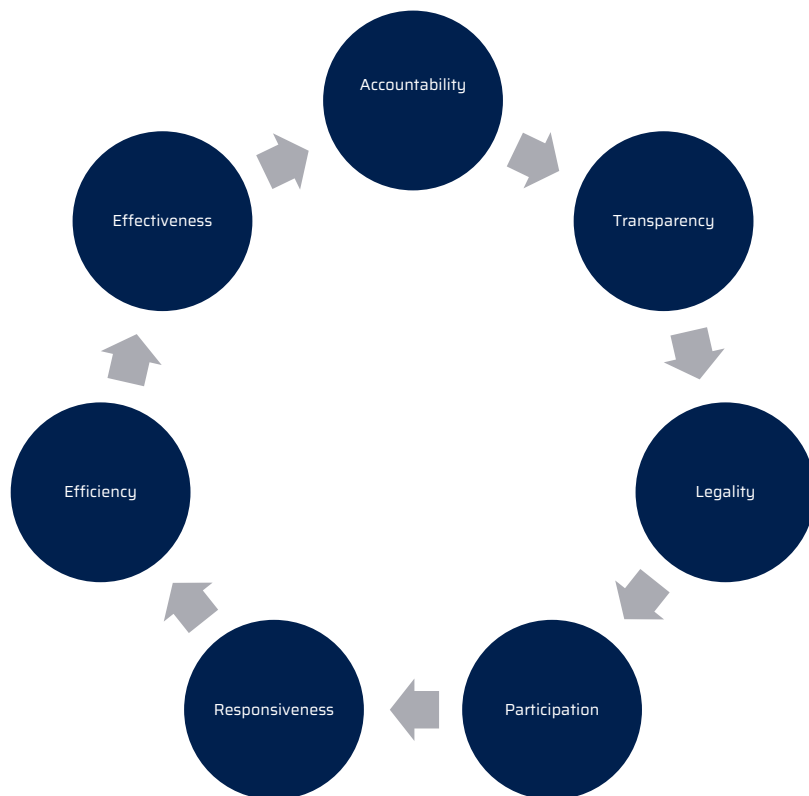


The classification of components depends on the purposes of the security sector governance assessment. 1. The basic components of the security sector are the Armed Forces; Public Order Bodies (Police, Border Police, Carabinieri, SPPS); Intelligence Service; and Private Security Companies. 2. Executive control is exercised by the Government with participation of the President, through the Supreme Security Council; Legislative control, or parliamentary oversight is exercised by the Parliament through specialised standing Committees; Independent control is exercised by entities such as the Court of Auditors, the National Centre for Personal Data Protection, the Ombudsman, and other entities; Judicial control is exercised by the Judicial Courts and the Prosecutor's Office; and Civil Society exercise general oversight.

The Security Sector Governance (SSG) assessment begins with the quantification of compliance with Good Governance principles by security providers and management and oversight entities.

Security Sector Governance. Principles

The governance of the security sector depends on respecting the **principles** of good governance. The principles of good governance ensure the uniform and stable application of high standards for public service based on democratic values⁴.



⁴ More about Security Sector Governance in: DCAF – Geneva Centre for Security Sector Governance. Security Sector Governance. SSR Backgrounder Series. Geneva: DCAF, 2019. Access: <https://www.dcaf.ch/security-sector-governance-applying-principles-good-governance-security-sector-0>

Accountability

exist when clear expectations for security provision and independent oversight by authorities and independent entities are met and sanctioned when they are not

Transparency

is when information is freely available and accessible to those who may be affected by the decisions or their implementation, provided periodically or upon request

Legality

All persons and institutions, including the state, shall respect publicly known laws, and be impartially and consistently fortified with human rights norms and international and national standards

Participation

All women and men, or social groups with various characteristic, have the opportunity to participate in the decision-making process and the provision of security services, directly or through representative institutions

Responsiveness

It means opening institutions to the different security needs of the population and excelling in their mission in the spirit of service culture

Efficiency

is the rational and professional use of resources in the exercise of the goals, responsibilities, and mission of the institutions

Effectiveness

is achieved when institutions best observe the achievement of their goals, responsibilities, and mission

Compliance with the principles of good governance can be monitored, fixed, and adjusted. The assessment of compliance with the principles of good governance can be carried out on the basis of impact indicators and by quantifying results.

FOR A HARMONIOUS INTERACTION, EACH SECURITY LINK MUST BE GUIDED BY THE PRINCIPLES OF GOOD GOVERNANCE. THE IMPLEMENTATION OF GOOD GOVERNANCE PRINCIPLES CAN BE ASSESSED BY QUANTIFYING THE RESULTS.

The quantification of the results of applying the principles of good governance, respectively their respect, contributes to the evaluation of the quality of governance. Sources of quantification may include, for example:

National sources:

- Parliamentary Reports
- Official Internet pages
- Independent analysis
- Statistical data
- Public polls

International sources:

- Transparency International's Corruption Perceptions Index
- Economist Democracy Index
- Global Peace Index

Security Sector Governance Evaluation Criteria

Because evaluation indicators are not directly observable, they are measured abstractly and estimative, as multidimensional concepts. It applies to all security sector entities. To this end, quantification will provide answers to questions relevant to each principle of good governance.

Accountability

- Are the persons or entities responsible for the infringement questioned and held accountable?

Accountability can be quantified by the interpretative method and method of observation of case studies, parliamentary, governmental evaluations, and other entities. The assessment of accountability differs strongly for different entities; it must first be determined by whom the entity is constituted (e.g., Parliament is elected by the people; Internal Affairs bodies are established by the Government; Private Security Companies are founded in the business circuit; and Civil Society operates on the basis of fundamental rights of free expression, right of association, and participation in government, although it is also subject to forms of accountability, such as administrative or civil). Secondly, based on the form of constitution and implicitly the supervisory body, the method of responsibility can be determined. Then, third, quantified the cases of responsibility, their number and relevance – finding and sanctioning for violations or failure to fulfil the mission; how many breaches of law by the entity were observed; what is the institutional integrity; how were detected cases sanctioned. Sources of information may serve court decisions, sentences, and other types of sanctioning decisions, including dissolution of the entity, dismissal, revocation, resignation, or democratic elections; opinion polls; other sources.

Transparency

- Are information and activity reports provided? Are they complete, insofar as they are required by law and good practise?

Through the documentation method, the answer to the question can be found in the annual activity reports, if they are available, and in the assessments of other entities; In general, freely and unconditionally accessible information, provided without special request, is evaluated. Sources will primarily serve official websites, publications, and official reports.

Legality

- Does the laws and regulations comply with good practises and contain them necessary provisions for accountability?

The method of legislative analysis; observation method and the documentation method can provide information relevant to quantification; as opposed to the principle of accountability, quantification of possibilities but not cases; legal regulations and norms, their importance, application, and fortification. Sources: legislative acts; official and independent reports.

Participation

- Do men and women and other social groups participate in the entity's activities?

The comparative method will provide relevant information for quantifying the participation of different social groups in the activity of entities: men, women, ethnic groups, language groups, young people, civil society, and others. Information sources may serve as secondary sources of comparative or special analysis and opinion polls.

Responsiveness

- Is the entity responsive to requests from the public and/or the supervisory body?

Unlike the aspects of accountability and transparency principles, when information is in free and unconditional access, the principle of responsiveness is relevant to examine requests for access to information, react to petitions, complaints, and referrals, including about crimes, or electoral tasks when appropriate. Sources: statistical reports and official pages.

Efficiency

- Are the entity's resources distributed and used in a rational and fit for purpose manner?

The systemic method must provide an understanding of the processes of budgeting and distribution within the entity of resources, primarily financial, on which the quality and

sufficiency of material and human resources directly depends. However, more important is the assessment of the rational and professional use of available resources. Sources: budget reports, and activity reports.

Effectiveness

- Are the purposes for which the entity is organised or established, including good practises, achieved?

The logical method will answer to what extent the entity completes its responsibilities and achieves its mission set by the constituent or founding body; in general, the goals are set in the process of establishment, establishment, or founding; for example, in the case of Parliament, these are the elections and expectations of the electorate, and in the case of Civil Society Organizations, these are the governing bodies. Information sources can serve opinion polls and other secondary sources, such as analyses, evaluations, and indices, such as corruption perception index, democracy index, human development index, and others.⁵

⁵ More on the GSS assessment: Ursula C. Schroeder. Measuring Security Sector Governance – A Guide to Relevant Indicators. DCAF. 2010. Access: <https://www.dcaf.ch/measuring-security-sector-governance>

The evaluation is performed by quantifying compliance with each principle of good governance. The qualitative assessment of security sector governance will be the basis for the formulation and periodic adjustment of national security policies.⁶ The quantification is made estimative, based on the opinion of a qualified expert, by assigning a grade that is dependent on the value in numbers and percentages of the maximum level:

„very high” – (5) Which is the highest grade, important. Value between 91 % and 100 %

"high " – (4) Which is high, considerable. Value between 71 % and 90 %

"medium " – (3) Which is in the middle of crossing values, moderately. 51 % to 70 %

"low " – (2) Which has low value; insignificant. 31 % to 50 %

"insufficient" – (1) Which does not satisfy, below the crossing limit. 1 % to 30 %

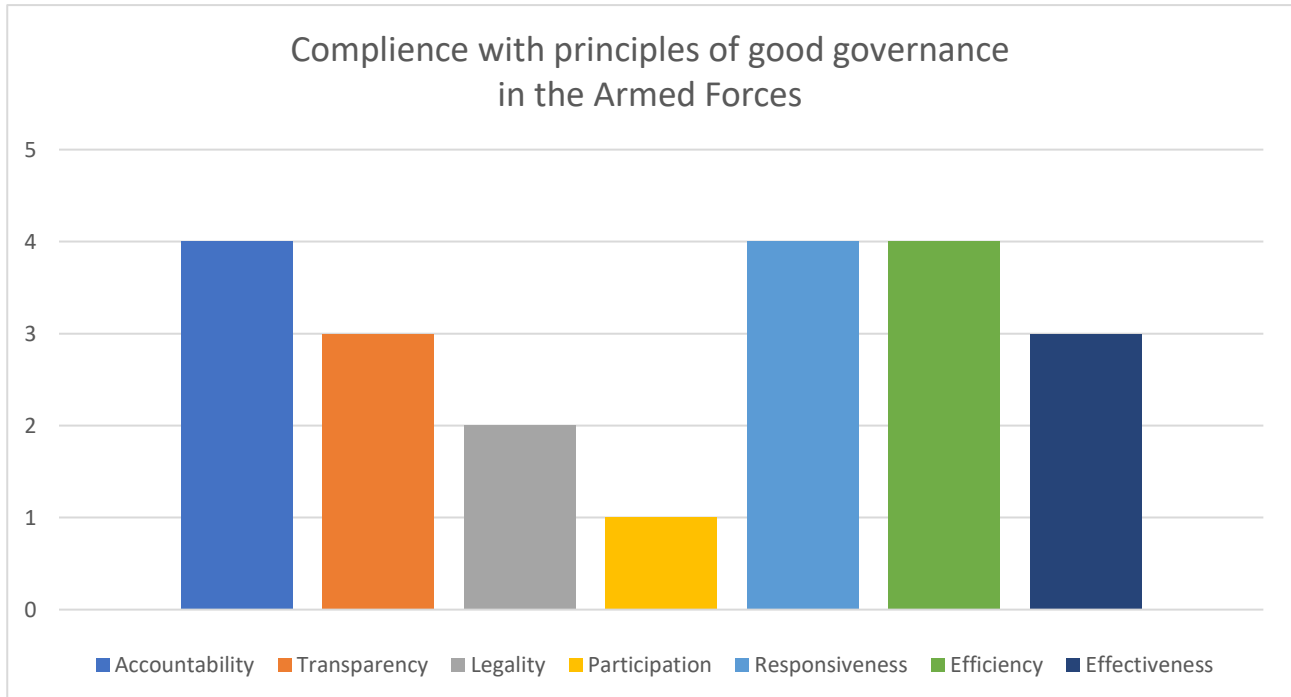
After measurement, the data are entered into the table for comparative visualisation.

	Armed Forces	Public order	Intelligence Service	Private Security	Government	Parliament	Independent entities	Judicial courts
Accountability								
Transparency								
Legality								
Participation								
Responsiveness								
Efficiency								
Effectiveness								
Total								
Overall total, average								

⁶ More about National Security Policies: SSR Backgrounder. National Security Policies. DCAF. 2015. Access: <https://www.dcaf.ch/national-security-policies-formulating-national-security-policies-good-security-sector-governance>

Case study: Evaluation of the Armed Force

Assessing compliance with good governance principles in the Armed Forces of Moldova:
A case study



Accountability: According to statistical data from the judicial system, there is a low number of reports of crimes committed within or in connection with the Armed Forces. Court sentences for sentencing Armed Forces personnel are at a low level compared to other categories of criminal subjects. The sources are collected from the Court Administration page (source: aij.justice.md), which provides a comparative analysis with a low rate of military crimes. In addition, the data of the National Anticorruption Centre are used as a source, confirming the low rate of crimes in the Armed Forces (source: cna.md). At the same time, according to the data of the Public Opinion Barometer (source: bop.ipp.md), the comparative trust of society in the Armed Forces is low.

Transparency: Transparency is assured by multiple sources. The website contains integrity reports, decision-making transparency reports, and other relevant information. The press service is active with a lot of regular information; external communication contacts are offered; subdivision lists (source: Army.md). There are other sources of information, such as magazines and social networks. The biggest gap is the lack of annual activity reports, with systematised and clear information on the means of activity and results.

Legality: Legislation in the field of the Armed Forces is poorly developed. The principles of good democratic governance are practically not reflected in special legislation. Internal regulations deal minimally with aspects of democratic governance, including internal and external control, efficiency, and effectiveness. Overall, in terms of good governance, regulations in the field - are weak (source: legis.md).

Participation: Statistics on women in the Army are elusive and virtually non-existent. Likewise, accessible statistics practically do not refer to other social groups, such as ethnic minorities; linguistic minorities; religious minorities; sexual minorities; and others. Scandals and controversial disputes regarding participation in the Army circulate in public space. Statistics confirm that minority social groups are poorly represented in the Armed Forces (source: statistica.gov.md). The Armed Forces remain a monolithic structure regarding social participation although they should strive for social cohesion among all groups.

Responsiveness: The official website (source: Army.md) provides integrity reports with information on referrals. In the system, there is a high response rate to external addresses.

Efficiency: The state budget provides a comparative analysis of the low financial resources allocated to the Armed Forces, compared to other authorities or to the standards of other countries (2% - NATO standard); However, the Armed Forces, having low financial resources, manage to efficiently use the available resources and ensure a high level of military stability. There is a high level of professionalism within the Armed Forces. Confirmed by low level of corruption acts - data of the National Anticorruption Centre, (source: cna.md).

Effectiveness: According to the Global Peace Index (source: visionofhumanity.org), the Armed Forces achieve their overall goal of ensuring peace and military stability with the designation of the most peaceful – one among - nation in the region. At the same time, from an objective point of view, military capabilities are low, as reflected by the Military Power Ranking (source: globalfirepower.com).

Armed Forces	Sources	Assessment	Quantification
Accountability	Reports about crimes; Court sentences; Court Administration page, aaaj.justice.md - Comparative analysis, low rate of military crimes;	high	4
Transparency	Page: Army.md ; These are: Integrity report; Decision-making transparency report; Active press service with lots of information; Contacts; Subdivision lists; It is not: Annual activity report.	medium	3
Legality	Legislation; Internal regulations; weak regulations; Low trust of society, Public Opinion Barometer, page: bop.ipp.md ;	reduced	2
Participation	Statistics on women in the army; concerning other social groups; Social groups statistics – poorly present, page: statistica.gov.md ;	insufficiency	1
Responsiveness	Page: Army.md ; It is an integrity report with information on appeals; High response rate;	high	4
Efficiency	State budget, comparative analysis on efficient use of available small resources; page: cna.md ; low level of corruption;	high	4
Effectiveness	Global Peace Index, page: visionofhumanity.org ; The most peaceful nation in the region; Low military capacity, Military power ranking, page: globalfirepower.com ;	medium	3
Total			21

Recommendations

When assessing the security sector governance, various credible primary or secondary sources of information based on solid argumentation and research can be considered.

The content of answers to control questions may differ substantially depending on the entity being assessed, organisational form and legal status.

Estimating the answers in numbers helps to perceive the actual status uniformly and comparatively. Moreover, numerical estimation helps to discover shortcomings or advantages.

The overall assessment of the security sector will allow the overall picture to be formed and changes to be followed.

Assessing security sector governance requires a curious and creative approach.

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