

ASSESSMENT FRAMEWORK – INSERT

QUESTIONS TO GUIDE SSR ASSESSMENTS



SECTION 1

PRE-ASSESSMENT

Refers to information that can be gathered at home, the intention being to frame the situation and identify initial areas of concern. The pre-assessment will also make it easier to pick the right individuals for the assessment team: Can the need for specific technical expertise be identified already at this stage? Should certain actors be part of the assessment team for the sake of sustainability in the implementation phase?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

1.1 On what basis/mandate will the assessment be conducted?

1.1 Basis/mandate

A. Has the Swedish Government made a political decision to explore the possibilities for SSR engagement on the basis of its internal SSR policies?

B. Is there an existing Swedish country strategy for the specific country targeted?

C. Is there a request for Swedish support from a national government? (Is the government legitimate?)

D. Is there a request for Swedish support from an international actor (bilateral donor or multilateral organisation)?

1.1 COMMENTS:

A. Are the decisions made solely based on Swedish internal strategies? Is there an opening in an ongoing process, or a request by other actors to explore further? At what stage of an ongoing SSR process would the assessment be conducted? See also table 3.1 in OECD/DAC Handbook on SSR (page 46); Sequencing SSR Assessments.

B. If a Swedish country strategy for the particular country exists, what does it say about SSR? How is Security Sector Reform relevant for the rights perspective and the perspective of the poor?

1.2 What are the strategic frameworks that set the stage for the possible or existing SSR strategy?

1.2 Strategic frameworks

A. Relevant peace agreement?

B. Resolutions (UN Security Council, African Union Security Council etc)?

C. Regional policies (AU, ECOWAS, ASEAN, OAS etc)?

D. National policies on security (are there any existing whitepapers or ongoing programs for reform)?

E. Other existing national policies relevant for SSR?

1.2 COMMENTS:

D. What do these documents say about the rights for security and say about the rights of individuals to security and safety? How have these policies been developed? Has there been a transparent process with broad participation and without discrimination? Are authorities accountable to the national policies?

E. Is there an existing Poverty Reduction Strategy, for the country in question? How has this been developed? Has there been a transparent process with broad participation and without discrimination?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

1.2 Continuation from last page

1.2 Strategic frameworks

F. Other existing bilateral or multilateral strategies on SSR?

G. What are the Swedish known or upcoming engagements that could serve as entry points for a comprehensive SSR support?

1.2 COMMENTS:

F. Including Swedish Country Strategies

G. Troop contributions? Development cooperation (through state or non-state actors)? Actors' collaboration? Other type of presence on the ground? Political commitments? Is there an operative country strategy for the particular country?

1.3 Which sources can be used at this stage to gather useful information?

1.3 Sources of information

A. UD (MFA) incl embassies

B. Sida (HQ) and Sida offices in the field

C. Other ministries (MoD, Justice etc)

D. MUST

E. Säpo

F. RPS, RKP, Tullverket, KVV or other agencies with particular information

G. Relevant Swedish NGOs with contacts in the country

H. (Diaspora)

I. Academic studies

J. Other relevant institutions with geographical/political/economic experience

K. UN reports (country reports, reports from the special rapporteurs etc), UPR reports of the Human Rights Council

L. International/local NGOs

1.3 COMMENTS:

A. Can the MFA help to put the analysis in perspective to relevant ongoing political processes within the EU

or UN etc? Can the assessment be placed within the ordinary country strategies? Can Swedish capacities on the ground be involved in the assesment to ensure sustainable engagement?

H. The diaspora can provide biased information but can be a source if used carefully.

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

1.4 What can be said about the situation in terms of contextual factors? With respect to the possibilities of, or need for a SSR process?

1.4 Contextual factors

A. What does the political situation look like?

B. What is the historical context of the country?

C. Political structure or system?

D. General capacity of the state to deliver public security (or to cause insecurity)?
To protect the rights of the individual?

E. What are the conflict dynamics?

F. Drivers (root causes) of potential tension;

G. Division of power and control over state security

H. Distribution of land and other economic resources

I. Degree of political power centralised to a particular ethnic, religious or political group

J. Ideological debates

K. Population's fear of insecurity

M. Widespread criminal activities

N. Access to Small Arms and Light Weapons

O. International/regional aspects affecting the conflict situation

P. High population density in relation to scarce resources

Q. Refugees and IDP:s

R. What is the state's capacity to respond to grievances or complaints due to human rights abuses or lack of protection of human rights?

S. Who are the key stakeholders? The main conflicting parties?

1.4 COMMENTS:

B. Colonial rule? Long-standing democracy? Military rule? Autocratic? What are the political trends?

D. Which security threats does the state face? External: belligerent neighbours, regional context, international interest? Internal: ethnic tensions, warlords, organised crime, natural disasters, epidemics, widespread poverty or discrimination? Gender Based Violence, child soldiers?

E. Would an SSR-process come in as a preventive measure, or as a post-conflict stabilisation measure?

F. How is formal and informal power distributed in Society? Central/local level, elite groups/people in general, majorities/minorities, classes/races, ethnicities/ages/gender. Which are the the major conflicts of interests related to power/powerlessness, politics of poverty and democratization process?

H. Is there a predictability in possibilities for livelihood?

I. What is the role of women in political life?

M. Has there been any statistics produced on level and type of crimes? Are women particularly targeted?

N. Type of weapons? Widespread armstrade as a source of power? Trade with which countries?

P. Urban vs rural tensions etc?

Q. Are there large numbers of displaced populations? What are their security concerns?

R. Is their security situation improving or worsening?

S. See Annex C and sections below about mapping

DURING PRE-ASSESSMENT, also try to do as much as possible of the mapping of political & institutional relations and possible entry points as outlined below for the in-country assessment:

SECTION 2

MAPPING THE POLITICAL LANDSCAPE

In particular in countries coming out of a violent conflict, mapping exercises may be a good opportunity to illustrate and understand the relationships and balance of power. See methods in Annex C.

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

2.1 Who are the actors? Which relevant actors can help understand or influence the conditions a security sector reform?

2.1 Actors

A. Main political/conflicting parties

B. Influencing actors?

C. Other political actors not involved in the conflict

D. Civil society? NGOs, religious groups, traditional communities, media etc?

E. Business community?

F. Marginalised groups?

G. Can Swedish actors (active or potential) be placed in a relationship with these actors?

H. What are the relationships of power between different groups classified for example according to gender or ethnicity?

I. Is there a need for a more comprehensive stakeholder assessment?

J. At what level are the stakeholders active (influential)?

K. What are the relationships between the stakeholders?

L. What key issues between the parties/stakeholders should be mentioned as obstacles or possible drivers for change?

M. What type of traditional/religious conflict resolution/arbitration mechanisms can be mentioned?

N. What are the challenges for the Judicial Insitutions in relations to the rights of the individual?

2.1 COMMENTS:

A. Important to analyse the democratic structure and culture of the parties. Transparency, openness, participation and accountability are important factors. Is there a separation of powers within the structure of the state?

B. Given the political issues, which actors could influence or become drivers for change?

F. Are there stakeholders that are not part of the security analysis upon which an eventual SSR-process can have an influence?

G. Would an intervention influence the conflict dynamics positively or negatively? What relationships could be used as entry points?

J. Are there sub-national dimensions to the conflict? **See Annex B. See also "The Pyramid" in Annex C.**

K. How can these relationships be presented on the map? Alliances? Close contacts? Broken relationships? Confrontation? Is there a gender divide in the distribution of power? How is the social fabric influenced by gender structures?
See mapping methods in Annex C.

M. What is the linkage between formal law and customary law and the structures-how does this linkage affect people, in particular women and girls?

N. Are the poor women and men utilising the government services? If the answer is "no" why are they not part of it? What groups are employed by the judicial system? Are any groups discriminated against?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

2.2 What does the situation look like in relation to the rights of the individual?

2.2 Rights of the Individual

- A. Has the country ratified the main international conventions?
- B. Are Human Rights an important component in the country's policy work and legal framework?
- C. Are human rights considered in the constitution and other legislation?
- D. Which threats towards national/territorial security can be mentioned?
- E. What are the most frequent and serious types of insecurity and injustice?
- F. Which other relevant issues can be mentioned that influence the situation of human security?
- G. What are the general concerns of the population, their hopes and fears for the future in relation to security and justice?
- H. How do people cope with insecurity and injustice?

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2.2 COMMENTS:

- A. Has the country made any reservations? Is the country reporting? How is the country approaching the challenges reported?
- B. Are human rights universal or are there exceptions made on the basis of race, sex, sexual orientation, language, religion, political or other opinion, national or social origin, property, birth or other status? For ref, see; Universal Declaration of Human Rights, article 2; International covenant on Civil and Political Rights and; the Yogyakarta Principles on the application of international law in relation to sexual orientation and gender identity.

- E. Are certain groups affected differently? Are women and men vulnerable to different types of insecurity and injustice? For guidance on gender sensitivity in intelligence work and SSR assessments, see DCAF's Gender and SSR toolkit or www.genderforce.se
- F. Are statistics on sexual violence, gender-based violence or ethnic violence available? Is trafficking of human beings an issue?
- G. Does a National Security Policy that encapsulates this vision exist? Is there an acceptance of civilian supremacy over the security forces? Can information be collected from existing surveys and statistics like the Human Development Index?
- H. Are there informal responses? Which main challenges should an SSR strategy address?

2.3 What can be said about the situation in relation to non-discrimination and empowerment of the individual?

2.3 Non-discrimination and empowerment

- A. What is the level of democratic governance and accountability of the security and justice system?
- B. What are the different values, ideologies and perceptions regarding key policies and objectives?
- C. Are some people/groups more influential than others over institutions, decisions and the general security and justice agenda?
- D. What does the economic system look like?

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2.3 COMMENTS:

- A. See check-lists at the back of this Insert, for guiding of governance and accountability (OECD DAC Handbook on SSR).

- C. Are there particular marginalised groups whose safety, justice and security needs are not met (gender, ethnicity, religion, societal classes, economic disempowerment – poorest of the poor)?
- D. What economic resources exist? To whom are the economic resources distributed (groups of people, geographic areas, gender)? Are there hidden economies outside the reach of the state apparatus? Is corruption widespread? Can rapid changes in the macroeconomic climate influence these phenomena?

SECTION 3

IDENTIFYING STAKEHOLDERS TO SSR

Components of a security system (security apparatus)

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

3.1 What is the general structure of the state and its different agencies/military etc? Mapping of actors from a SSR perspective

3.1 Structure of the state

A. Which control do different parties have over the security functions of the state?

B. Are any of these security functions de-facto active parties of a conflict?

C. Which actors have/had influence and power over the security apparatus?

D. General outreach and delivery capacity of the state?

E. Level of transparency, when it comes to decision-making processes in the state apparatus?

F. Is there a functioning state to talk about at all?

G. Which conditions for a successful SSR process exist given the nature of the state?

H. Are there alternative structures providing security to population/s?

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3.1 COMMENTS:

- A. Particularly important when the aim is to identify entry points and needs for an overall SSR process. What is the general situation in regard to representation of all groups? Accountability?
- B. Individuals that can use their high-level or influential positions? Institutions that can use their competence, mandate or organisational cultures?
- C. What is the role of informal networks?

- D. Are social services delivered? Is there a general confidence in state institutions? Is the state considered the natural provider of security? Is security considered a "public good"? Are there parallel structures providing citizens with public goods?
- E. Do all groups influence the process?
- F. Pushing for SSR too early in a post conflict environment may cause more harm than good.
- G. As an external actor, would you rather want to support some sort of power-sharing to keep the stability and balance?
- H. Rebel groups or militia in control of certain areas that have taken over the functions of the state?

THE FOLLOWING SECTIONS contain lists of institution and actors that are potentially important stakeholders for an SSR process and that should guide the assessment team.

Remember that the situation might look different at different levels (national/regional/local). Guiding questions for each sector can be found at the end of this insert (Sectorial Questions, inspired by the OECD DAC handbook on SSR).

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

3.2 Management and oversight bodies

3.2 Management and oversight

A. The executive (President, Prime Minister; Gov)

B. Legislative (Parliament)

C. National security advisory bodies

D. Legislative committees

E. Ministries: *Defence, Foreign Affairs, Finance, Internal affairs*

F. Ombudsmen

G. Customary and traditional authorities

H. Financial management bodies (planning, auditing etc)

I. Civil society organisations (legal aid agencies, research institutions, media etc)

E. Is the Ministry of Defence headed by a civilian?

3.2 COMMENTS:

A. What are the relations between legislative, executive and judiciary powers? (Separation?) How many women in parliament, minister positions and other positions of importance in the political landscape?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

3.3 Justice and rule of law

3.3 Justice and rule of law

A. Ministry of justice

B. Judiciary

C. Prisons

D. Military courts and tribunals

E. Criminal investigation units

F. Prosecution services (Including Police functions)

G. Police (see also above)

H. Human rights commissions

I. Ombudsmen

J. Customary and traditional justice systems

K. Legal framework

3.3 COMMENTS:

A. Are justice institutions accessible in terms of location, affordability and timeliness? What influence, control and access do people have over these institutions?

B. How many women are judges, prosecutors and lawyers? Does the judicial system take into account different needs of women, men, ethnic groups, minority groups?

G. Is the police's mandate set at a focus to protect the rights of the individual or to protect the state?

H. Which system of legal aid is in place?

J. Which different roles do state and non-state security and justice institutions have and which are the main local security providers?

K. Basic analysis of constitutional framework and key legal documents. Appropriate legal framework to prevent discrimination on the basis of gender, ethnic belonging, belonging to a minority group etc?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

3.4 Important actors influencing the security situation: Including actors without direct formal impact on the security system but that do have influence over governance and control

3.4 Other influencing actors

A. Non-statutory security forces (liberation armies, guerrilla armies, war lords, protection services etc)

B. Political party militias

C. Criminal groups

D. Individual members of parliament

E. Public complaints commissioners

F. Other State authorities with indirect influence over the security situation

G. Civil society (Groups that may have a particular knowledge or influence over a society's security management)

H. Think tanks, NGOs etc

I. Research institutes

J. Business institutions

K. Media

L. Religious institutions

M. War affected civilians

N. Other international actors

3.4 COMMENTS:

A. What legitimacy do they have? Are they providers of security or insecurity? What is the relationship with the formal security system?

C. Organised crime, especially if in control of a certain region/area. Extortion activities.

G.-L. Is there sufficient space for civil society to exercise political rights and to operate freely? Which movements challenge or support the state? How? Does civil society provide justice and security in

communities? Are there monitoring and oversight groups at the national and local levels? To which extent are civil society groups representatives of the local population? What is the relationship between civil society and state institutions?

K. Is there a free media/independent press? Which political parties are connected to which media outlets? Does a journalist association exist? Is it independent?

M. Refugees, displaced - IDPs -, ex-combatants, child soldiers etc.

N. Multilaterals, Bilaterals, Regional organisations

SECTION 4

POTENTIAL ENTRY POINTS

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

4.1 Issues possibly left-out/missing – Checkpoints to confirm that relevant issues have been considered:

4.1 Issues possibly left-out/missing:

A. Are all relevant actors covered in the assessment?

B. Was the information adequate?

C. Can the information be verified/triangulated?

D. Can any areas be identified where there is a need for a particular, more in-depth, assessment?

E. Given the conflict mapping and actors analysis of important issues, which stakeholders are not yet included in the common security perception?

F. How to reach them? How to gather the additional information?

G. Will there need to be a more in-depth follow-up?

H. How to engage different actors in the reform process?

4.1 COMMENTS:

A–B. Is the assessment comprehensive enough? Are the needs of men, women, children, ethnic groups, minorities appropriately incorporated?

C. Have information been manipulated or wrongly recounted? Is there a risk that the analysis will be biased based on the sources of information?

4.2 Issues to assess when considering opportunities for SSR assistance.

4.2 Possible opportunities for SSR:

A. Whether partners recognise the need both to improve the effectiveness of the security system and to strengthen its governance and oversight

B. Weighing up the risks of engaging against the risk of local beneficiaries not being able to handle the challenges in the security system

C. Whether proposed areas of support address real needs

D. Whether the end-goal of reform is best served by keeping a low profile when it comes to initial discussions or whether there is an opportunity to support a wider public debate

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

4.3 Risks, opportunities and added value for Sweden

4.3 Added value for Sweden

A. Is there a risk that external pressure for reform influences the power relations and the stability in a negative way?

B. Which opportunities - drivers for change - can be identified that can help create a more stable environment in which an SSR process can be implemented?

C. What seems to be the attitude towards change?

D. Would a SSR-reform contribute to reducing/closing capacity gaps on the part of both those who are claiming services and those who are delivering them (i.e. courts, the police, prisons, ombudsmen-institutions)? What are the expectations of a reform?

E. Is there a certain region of the country where there is a particular need?

F. Sometimes, focusing on something other than SSR may be a better way to establish safety and stability, while awaiting the right opportunities for reform

G. Are there any concerns regarding the relationships between different sectors that would influence a strategy within a particular area?

H. Given the conflict mapping and actors analysis of important issues, identify actors that need to be approached.

I. Which way is the best way to reach these actors?

J. Which political programmes is the Government involved in that could provide an entry point to SSR?

K. Has the country been through a SSR process before?

L. Which other international actors are present on the ground and active in SSR-related matters?

M. Are the results from the assessment in line with ongoing thinking at the international level?

N. Within which areas is Sweden active?

4.3 COMMENTS:

A. Certain functions might need to be left intact for the time being in order not to create more ambiguity and insecurity.

B. Are there any opportunities to build political commitments, dialogue and understanding of security issues that may result in an improved environment?

C. Amongst different actors and amongst different individuals within targeted organisations

E. Where should Swedish efforts be focused?

F. The Rule of Law is an established concept that is fundamental for a society's ability to provide predictability and an environment conducive to human rights/an environment promoting human rights.

G. How would for example a particular strategy to train and enhance the capacity of the national police relate to the situation of the rest of the criminal justice and correction system?

I. Statistical surveys conducted by NGO-networks or international offices (OSSE etc)?

J. Is there a programme of decentralisation or civil service reform?

K. What were the results? Is there currently a fatigue towards "external initiatives"?

L. At what level? What do they do? Development frameworks? Programs? Plans?

M. How can the assessment tie into ongoing political processes in Brussels and New York? Resolutions? Country strategies? etc.

N. Elsewhere in the region? Through other, non-state, actors?

QUESTIONS TO GUIDE SSR ASSESSMENTS:

NOTES:

4.4 Risks, opportunities and added value for Sweden

4.4 Added value for Sweden

O. Which capacities can Sweden provide?

P. Which added value would a Swedish engagement in a SSR processes provide?

Q. How can it be made sure that this engagement is sufficiently sustainable?

R. What can be funded given the criteria of Official Development Aid?

S. What are the potential risks of engaging in SSR?

T. What impact (postivie or negative) will international engagement have on the prospects of reform?

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4.4 COMMENTS:

O. Whether it is more of the same resources or particular expertise to fill a gap.

Q. How do the proposals fit with ordinary country strategies (MFA/Sida) and engagements of other actors on the ground? What is the timeline for Swedish engagement?

R. **See Annex D** for SSR activities that can be considered Official Development Assistance (ODA).



FOLKE BERNADOTTE ACADEMY

Folke Bernadotte Academy

Sandö & Stockholm, Sweden

Phone: +46 612-82300 • Fax: +46 612-82399

www.folkebernadotteacademy.se