ISSAT Methodology and Guidance Series

National Security and Justice Sector Reform Guidance

01.09.2018

Contents

General Description

In the context of security and justice reform, vision and policy cascade down from the **national level**, to the **national security system level**, and to the **national security institution level**, and also could bubble up the other way. What is essential is that security and justice vision and strategy align with those above and below it. In this way the vision and strategy for the national security system will reinforce the overall development of the country, and the national security institutions will act together as a coherent whole to ensure maximum human security for the country's residents.

The practice of formulating a national security vision, policy and strategy is still very much in its infancy, with few countries having reached this level of detail in their ability to look at state-level governance and structures. As a result, common definitions of the meaning, hierarchy and processes involved are still in flux.

National Security Strategy or National Security Reform Strategy?

A **National Security Strategy or Policy** (NSS or NSP) is a key framework for a country to meet the basic needs and security concerns of citizens, and to address external and internal threats to the country. In addition to focusing on the effectiveness of security providers, many of the more recent, forward-looking NSS or NSPs pay particular attention to the relevance of security services, public legitimacy, local ownership and sustainability, in addition to implementation measures and improving the efficiency of security services provision. More specifically, these issues include:
- ✓ Human security
- ✓ Oversight and accountability
- ✓ Human rights
- ✓ Justice
- ✓ Gender Equality
- ✓ Monitoring
- ✓ Coordination
- ✓ Communications

On the other hand, the objective of a **National Security Reform Strategy** is to define how the sector or organisation under reform will operate in the future. It assesses the relevance of the current situation to the future, identifies gaps, and plans for closing them. It tends to take a systemic approach, allowing areas such as information systems, organisational design, logistics, to be included in evaluating the opportunities within the sector. The typical five key elements a reform expert should look at whilst reforming institutional architecture are:

- ✓ Core processes
- ✓ Human resources
- ✓ Equipment and facilities
- ✓ Information systems and Technology
- ✓ Culture

Terminology

In this guidance, the term **policy** is used to describe the overarching goals, purposes and values related to national security. The term **strategy** is used to describe a document that aims to conciliate between aspirations and means. The term **vision** is used as part of a **policy document.** The term **plan** is used to reflect the specific changes needed to achieve the goals set in the national policy and/or strategy.

Each country will have its own preferences while selecting and adapting terminology to its needs. In reality, when building a security and justice vision and strategy, most countries would think about a **security policy document** and a **security and justice reform plan**. What is important is that each of these key documents is the product of a truly comprehensive and inclusive dialogue process resulting in a widely and genuinely shared view.

"Developing a 'vision and strategy' aimed at strengthening national capacity to address basic security in the immediate aftermath of a conflict is recognised as a fundamental peacebuilding priority and therefore essential for increasing the chances for sustainable peace and development."

Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict

"National security policies and strategies are intimately linked to SSR, as they articulate the priorities for national security and the capacities required to meet them. These policies and strategies should therefore be viewed as invaluable strategic entry points at the sector-wide level for engaging in and guiding SSR."

UN SSR Integrated Technical Guidance Notes 2012

The **main phases for the development of a national security and justice vision, policy and strategy** are shown in the below flow chart:
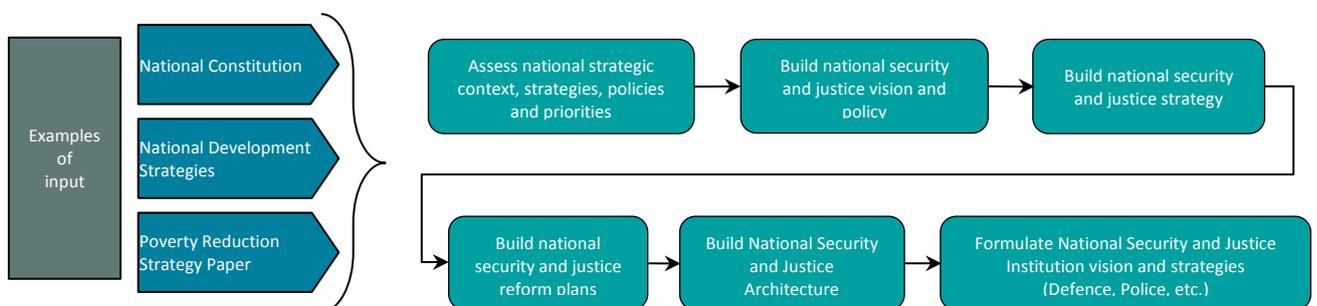
Phases and Sub-activities

Phase A – Assess National Strategic Context, Strategies, Policies and Priorities

Before the start of the process, it is crucial that there is a shared and objective understanding of the national and regional context and main priorities. An in-depth assessment of the national strategic context along with relevant strategies, policies and priorities is the first activity to undertake.

In national terms, the strategic context is the situation the country finds itself in in terms of factors that might impinge, positively or negatively, on the ability of the country to achieve national goals. Factors to be considered might include:

- The history of the country and its current norms
- The regional and international political and security 'climate'
- The ability as a nation to grasp the opportunities and mitigate the threats of its surrounding environment
- The regional military situation and the presence or otherwise of friends and/or enemies or potential enemies
- The strength and resilience of the national economy
- The sociocultural fabric and the community's expectations (education, access to justice, etc.)

In partnership with the assessment of the international, regional and national strategic context, an assessment of current policies, strategies and capacity should be conducted. This assessment should clearly outline current policies, as well as, the strategies and capacities to achieve them and objectively determine their strengths and weaknesses and their success or otherwise against their own criteria.

In practice, countries may have many National Strategies such as a National Development Strategy, a Poverty Reduction Strategy or both. At the National Security System level there may be one or more of a National Security Policy, Strategy, or Plan. And at the institution level there are a variety of strategies and outputs used by each sector.

It is quite likely that there are no clearly articulated or defined policies and strategies at the national level and some sporadic strategic documents on the sectoral level. In this case they should be determined or assumed by an examination of the sum of national activities. It is also quite likely that there will be no previously agreed methods for determining the success or failure policies and strategy. A transparent set of criteria will need to be developed to measure success or failure.

Policy assessment is an inherently political activity, but for best results, it needs to be conducted objectively. For this reason, people given the task need to work closely with the government but also need to have the confidence of the government, be sufficiently senior and be confident in their own knowledge to be able to undertake such an assessment that might be seen as critical of previous government decisions. Without this, any assessment is likely to be flawed and lead to irrelevant or even damaging policy directions.

Phase B - Build National Security and Justice Vision and Policy

General Description

A National Security Policy is the umbrella policy overarching sectoral policies in defence, internal security, justice and others. This is reinforced by the UN Security Sector Reform Integrated Technical Guidance Notes which state that a National Security Policy is a "formal description of a country's understanding of its guiding principles, values, interests, goals, strategic environment, threats, risks and challenges in view of protecting or promoting national security for the State and its peoples" and that "this understanding is anchored in a vision of security determined through a comprehensive process of dialogue with all national stakeholders...".

Definition

"A National Security Policy is defined as a formal description of a country's understanding of its guiding principles, values, interests, goals, strategic environment, threats, risks and challenges in view of promoting national security for the State and its peoples."

SSR Integrated Technical Guidance Notes UN 2012

RISK: *The devil is in the detail*

An overly comprehensive policy, which strays into expounding on strategy and dictating action plans, may have a tendency to fall short of due diligence to strategic rigour. Subsequent problems in implementation of security policy can arise from this and from the lack of detail in a poorly thought-out action plan.

Most nations today have an unwritten security policy, made up of practices and precedent, tradition and allegiances, which may even be well documented. Purposefully written policies are still rare. Those written policies which do exist tend more than the sectoral policies to describe a State's understanding of national values, interests, threats, needs and objectives in view of protecting or promoting national security for the state and its citizens.

Below are the main sub-activities required in order to build a National Security and Justice Policy:
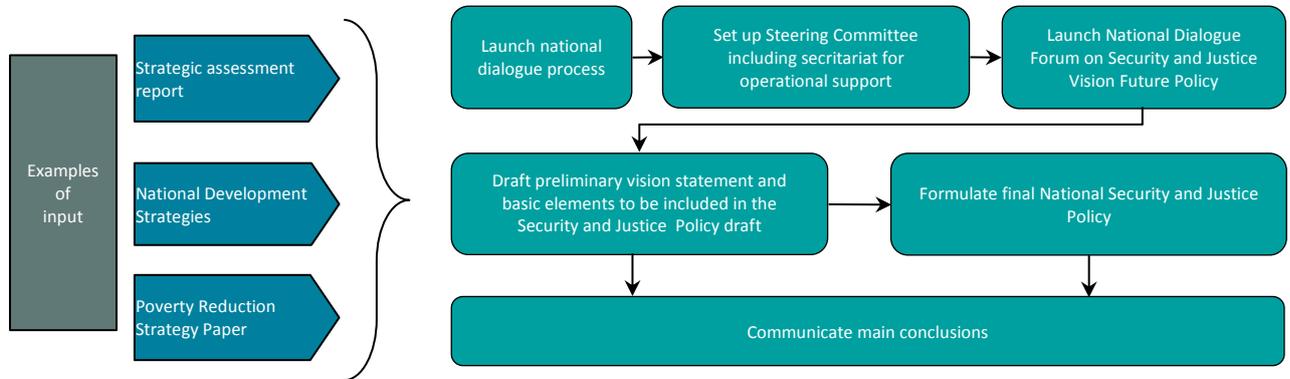
Sub-activities:

1. Launch National Dialogue Process

The formulation of a written National Security Policy should result from a full national dialogue: a thorough and inclusive process of consultations with all national (and in some cases regional and international) stakeholders, to form a common understanding of the vision, values, interests, objectives and needs of society and the threats they face. Thus, it should incorporate not only a top-down state-centric approach (emanating from the views and perceptions of the government) but also and importantly a bottom-up human-security approach (based on the perceptions and wishes of the people).

It is for this reason that the first step after the Phase A National Assessment is to articulate clearly key messages that convey the importance of the national security and justice policy and tailor those to various stakeholders that we intend to engage with:

- Individual community members (men, women, boys, girls and elderly)
- Local Civil Society Organisations

- National security and justice actors (state and non-state)
- National political actors (in government and opposition)

The strategic assessment should have generated a set of issues, challenges and opportunities to work from. From those, key messages need to be developed to articulate the importance of a national inclusive process for the development of the policy. These messages should be used to secure support for the upcoming national security and justice forum.

The objective of the national dialogue process is to build consensus and clarify a shared vision for the State's security and justice commitments to its citizens. Wide consultation rounds with the above categories of stakeholders are key to secure support and engagement for the development of this policy, as well as strengthen its chances to be translated into realistic operational reform plans. These consultations should also generate key issues to be included in the National Security and Justice Forum. The national dialogue could take a year or more to clarify and de-conflict views across sectors and authority levels before the national forum could be held.

2. Set up Steering Committee including Secretariat for Operational Support

3. Organise National Dialogue Forum on Security and Justice Vision and Future Policy

The broad national consultation process should lead to the development of a set of issues to tackle during the national dialogue forum. Those usually include three aspects:

- Current priorities in state thinking on national security threats and concerns
- Community needs in terms of human security and justice
- Main aspirations, values and goals that the stakeholders converge towards.

Issues should be examined from an analytical point of view and be clustered into categories and in order of priority as relevant to the context. Some national security policies can be quite comprehensive and attempt to include strategy and concrete action plans all-in-one. Others remain purely at the level of policy discourse. We recommend that the national dialogue forum preparation remains at the strategic level and only tackle issues related to the shared common values and objectives that both the community and the authorities have highlighted.

Shared Vision

The first part of the national dialogue forum should focus on constructing a vision statement in a participatory manner. A shared sense of a desired future is often referred to as a **shared vision** because it is a specific set of ideas formulated in a way that invokes the imagination and makes the future seem more tangible, real and possible. It weaves together the goals, purposes and values that are embraced by the stakeholders and expresses what they are committed to achieve, why the undertaking is important to them, and how they will conduct themselves along the way. While each stakeholder's personal vision may be slightly different, the shared vision serves to connect and align them. It acts as a guiding beacon, drawing stakeholders' attention away from relatively minor differences and tactical details to focus it on the big picture: the key shared goals, purposes and values that bring them together and inspire them.

These terms can mean different things to different people and this can cause confusion that undermines visioning efforts. It is important, therefore, that a clear, coherent and conceptually sound set of definitions is established and agreed with stakeholders up front. While there may be no "right" definitions, the following are a good starting point:

Goal and Purpose

A **goal** describes what an individual or group aspires to become, to achieve or to create. Purposes and goals are similar terms in that they both refer to a desired future end state toward which effort is directed. While goals are aspirations that have a definite, measurable end, purposes are aspirations that generally have no measurable end but describe the reason for which effort is made or for which something exists. **Purposes** generally describe why a system or organisation exists, what it does, the value it provides and for whom, and how it contributes to the overarching vision.

To illustrate the subtle distinction between goals and purposes, consider the following possible goal and purpose statements for a police service:

- Goal: to provide our citizens with the lowest crime rate in Africa
- Purpose: to serve and protect

Often the above components are synthesised into a single **vision statement** that is crafted to express the essence of the shared vision and present it in a way that captures the imagination, evokes a strong positive emotional response and inspires people to contribute to its realisation. This statement is usually complemented by articulation of the various components from which it was derived, including the core components described above but sometimes supplemented or replaced by related concepts such as guiding principles, needs or interests. It is very common for purposes to be synthesised into a single purpose or **mission statement**, which articulates why a system or organisation exists, what it does to contribute to the achievement of the vision, and what constructive role it plays.

Values

In addition to the vision statement, national dialogue fora are usually useful to identify a set of values that complete the vision statement. Values are guiding ideas or principles that define how an individual or group believes things should be, because it is inherently ethically "right", and/or it is necessary to achieve their most important goals and purposes.

For instance, the Universal Declaration of Human Rights sets out a set of values, such as "everyone has the right to life, liberty and security of person", that aim to provide a foundation for "freedom, justice and peace in the world".

Alternatively, the values written on a war monument, such as loyalty, sacrifice and honour, describe qualities that people believed were necessary in time of war for their community to survive and be victorious.

Because of their essential role in the achievement of important purposes and goals, values tend to be held with strong emotional attachment.

As guiding ideas or principles, values imply certain ways of thinking and behaving. For instance,

if we are to be true to a value of trust, then we must be honest with others and expect them to be honest with us.

Personal values become shared values when they are aligned with shared goals and purposes. In other words, shared values define how people within a group agree things should be, because it is inherently ethically "right" and/or it is necessary for them to achieve both their own personal goals and purposes (therefore encompassing personal values), and those of the group.

Values, once shared and agreed upon, can become implicit or explicit codes of conduct, rules or policies within a community, organisation, team or other group. As such, they can not only guide behaviour, but also serve as a means for holding people within the group accountable for their behaviour.

The final outputs of the National Dialogue Forum should be a clear road map for way forward with indicative timelines for delivering the final security and justice policy document, as well as a report reflecting the main issues discussed and the conclusions made by the participants.

4. **Draft Preliminary Vision and Basic Elements to be Included in the Security and Justice Policy**

Inevitably, there will be a wide range of views on the desired national directions. These views need to be reconciled and the stakeholders need to be able to explain why they have drawn the conclusions they have. The results of the National Forum could be considered as an input to subsequent deliberations of the government or of an independent experts' commission that take forward the drafting of the policy document.

5. **Formulate Final National Security and Justice Policy**

6. **Communicate Main Conclusions**

The final decisions, which are usually made by the government, need to be communicated transparently so that all citizens understand the decisions themselves, the bases on which they were made and their short and long-term implications in political, economic and social terms.

Phase C - Build National Security and Justice Strategy

General Description

Where vision defines what the security and justice sector aspires to achieve and for what end, a strategy describes how we intend to achieve our aspirations from where we are now. National Security and Justice Strategies look at how to best marshal a country's resources and assets, including the budget set aside for this specific purpose, in order to achieve the goal of national security and justice.

National Security Strategies (NSS) should be guided by the strategic vision outlined in the National Security Policy (NSP). NSSs should be based on the values, interests, threats and needs of the country and ought to describe the methods to be used for meeting the objectives outlined in National Security Policy.

In cases where there is a lack of clear policy then NSS may be based on the interpretation of different elements of what may be considered National Security Policy, for example, white papers or political statements of intent.

Moreover, if a consultative process has not taken place in the development of the NSP (or if no formal or explicit NSP exists) then a broad consultation process (which should usually already take place at the NSP formulation stage) will have to be conducted to ensure that the perceptions, needs, concerns and values of society at large are first taken into account. As a strategy must be both proactive and reactive, the NSS should be continuously reviewed to ensure that it responds to both current and future needs and threats.

In principle, National Security Strategies could range from those that are explicitly internationalist to those that are more independent or even isolationist.

Below are some of the basic sub-activities that should be implemented in view of building a national security and justice strategy.

> **Definition**
>
> "A National Security Strategy is defined as a formal description of the methods to be used by the State and its people to realise the vision and goals outlined in the National Security Policy."
>
> *SSR Integrated Technical Guidance Notes* UN 2012

Sub-activities:

1. Undertake Prior Assessment of Strategic Context

The art of strategy involves understanding the dynamics of the environment in which one is operating, and then identifying and prioritising the vital few objectives that are likely to most contribute to the achievement of the ultimate goal. This guidance assumes that an in-depth assessment has already taken place prior to the development of the policy. However, in reality either the policy hasn't been developed or there is a significant gap of time between the policy development and the strategy development. ISSAT recommends that even if an in-depth assessment has been carried out, it is important to undertake a smaller scale analysis of the context before embarking on the strategy development exercise.

This could involve:

- Developing **strategic foresight** by considering Political, Economic, Social, Technological, Legal and Environmental (PESTLE) trends; assessing stakeholder needs; identifying good practices and success stories; assessing the strengths and weaknesses of different actors involved; and identifying emerging opportunities and threats.

- Determining the **strategic focus** in terms of who the target beneficiaries of the

strategy are; how they will benefit; what products and services will be produced that will lead to this benefit; and what will differentiate the producers of the products and services from those currently doing so, or from potential alternative producers.

2. **Set up Steering Committee (if different from National Security Policy steering committee)**

3. **Conduct Further National Dialogue on the Means to Meet the Vision and Objectives Outlined in the NSP**

4. **Establish a National Security Forum composed of Representatives from Government and Academia to exchange Ideas on Strategy Development**

5. **Decide on Key Priorities, Lead Actors, Coordination Mechanisms, and Human and Financial Resource Needs**

6. **Draft the National Security Strategy**

Components of a Strategy Document

Strategy builds on the shared vision to translate its broad aspirational goal(s) into concrete **objectives** and a high-level **plan** for achieving them. And even more so than the shared vision, the strategy must be **continuously renewed** to align it with the changing context.

Strategic Objectives

At the heart of a strategy are a set of objectives that stakeholders believe, based on their best available information, should be achieved in order to realise, or contribute to the realisation of, the ultimate goal(s) associated with the vision.

Objectives are generally organised hierarchically, whereby an objective may have a set of sub-objectives that represent necessary intermediate steps to its achievement, and each sub-objective has a causal effect on its parent objective. Expressed another way, an objective will indicate WHY a set of sub-objectives are important, and sub-objectives will indicate HOW the objective will be achieved.

Objectives are considered to be well-defined and effective when they are Specific, Measurable, Appropriate, Realistic and Time-bound (SMART). Typically they have four main components:

- A product or service output that is to be generated or an outcome that is to be achieved
- One or more indicators of progress and success
- A target value for each indicator
- A time frame by which the target value should be achieved

Sometimes these components can be represented in one concise objective statement, such as "reduce average pre-sentence detention to below 2 months by December 2014". We can break down this statement as follows:

- Outcome: reduced pre-sentence detention time
- Indicator: average pre-sentence detention time
- Target: less than two months
- Time frame: by December 2014

In other cases, a complex objective must be broken down:

Objective	Indicators	Measurement	Target	Time frame
Increase Police Transparency	Public availability of reports on police complaints	Rating: 4 - Complete and accurate reports are produced and made public at least once a year 3 - Complete and accurate reports are only occasionally produced and made public 2 - Reports are produced and made public but are incomplete or provide limited information 1 - Reports are not produced or made public	4	by December 2015
	Public reports on police budgets and expenditures	as above	3	by December 2015
	Public reports on deaths in police custody or as a result of police actions	as above	4	by December 2015

Source: Adapted slightly from the **United Nations Rule of Law Indicators**, first edition.

Objectives serve as a focus for action, and as such, it is important that there are no more than can be reasonably pursued. Equally important, is the understanding of the **dynamic relationships** between the desired objectives, intermediate objectives and what is required to be in place to allow results to be achieved. All of these factors affect each other, reinforce the current situation but the intention is to shift them to generate more desirable future outcomes and ultimately achieve the shared vision.

There are many techniques that can assist in this process, but one of the most prominent in government and international development is the **Theory of Change**. This technique involves defining the ultimate **impact goal** that is aspired to, defining the **outcome conditions** that are necessary and sufficient for the goal to be realised, and then working through each condition and sub-condition in a similar manner and as far as down the tree as required until you can begin to start defining **outputs** that need to be produced to generate the desired outcome conditions, **actions** that are required to produce the outputs, and **inputs** that are required to carry out the actions. This approach is similar to the hypothesis tree technique used in logic, science and other fields.

There is a risk that a Theory of Change model can oversimplify the dynamics of the problems to be addressed. Understanding of the more complicated and complex aspects of the problems can be enhanced by applying the techniques of **Systems Thinking**, and **Complexity Theory**.

Strategic Plan

The strategic plan lays out the initiatives or actions that must be undertaken to achieve the objectives; what material, financial and human resources will be required; and who will be responsible, accountable, consulted and involved. All of these components must be defined within the constraints of what is reasonably feasible, what resources are available, and what is consistent with the values of the stakeholders.

For example:

Component	Examples
Shared Long-term Vision	A vision is based on the country's values, aims, and interests, and should describe where the country tends to see itself in 5-10 years. While a vision does not state how to get there, it should set the direction for strategic planning. The vision should be the key component of the NSP, and should be reiterated in the NSS to ensure coherence between the two documents. Example of a vision: "Jamaica aims to establish a safe and secure environment in which it can focus on achieving a prosperous, democratic, peaceful, just and dynamic society which upholds the fulfilment of human rights, dignity for all

	persons, and builds continual social progress based on shared values and principles of partnership. It aims to provide an environment in which Jamaicans can experience freedom and the other benefits guaranteed by the Constitution." National Security Policy for Jamaica: Towards a Secure & Prosperous Nation, 2007.
Threats, Risks and Challenges	An NSS should reiterate (in the case that a NSP exists) the threats and challenges the strategy aims to address. Over recent years, threats have tended to move from a state-centric approach to one which considers security for the people. Threats addressed may range from piracy, illegal immigration, or risk of invasion, to the risk of natural disasters or gang and drug-related violence. Threats addressed ought to be both current and forward looking.
Objectives and Interests	Objectives will vary on the basis of the threats and what the strategy aims to achieve. Objectives may include: the consolidation of democracy, economic development, protection of territorial sovereignty, prevention of crises, a new approach to security – for example the move from traditional state-centred to people-centred security; enhancing democratic governance of the security sector; coordinating response to a new set of threats, etc… Interests may be linked to the objectives, and may include: economic prosperity, good relations with neighbours, or strengthening the efficiency of state institutions.
Guiding Principles	Core principles should be identified to guide the implementation of the strategy as well as the development of the security sector implementation plan. Principles may include: transparency, inclusiveness, confidence-building, partnership-building, respect for human rights and rule of law.
Activities	NSS's should contain a list of activities that will be undertaken in view of achieving the objectives outlined. These may be broad (e.g. conduct media campaigns to draw public attention to the problems of violence or support counter narcotics campaigns), or specific (e.g. enter digital fingerprint information in all travel documents). These activities are likely to be described in more detail in the security sector development or implementation plan.
Human and Financial Resources	This section should be based on the analysis of the roles and responsibilities of security sector actors identified through the security sector review and gap analysis. Financial resources and needs may be considered at this stage and then developed in more detail in the national security sector development or implementation plan. Clarity on these issues is important in order to help identify the priorities to be addressed.
Priorities	Priorities ought to be listed on the basis of what is feasible according to the human and financial resources available to reach the objectives. Priorities may also refer to geographic areas of the country or to target groups of the population.
Mechanisms for Co-ordination	NSS's ought to address the issue of mechanisms for co-ordinating the large number of actors involved in the process. Similarly, identifying a lead actor is essential to enhance coherence. The strategy may call for the setting up of a

	steering committee or implementation committee, although this is something that is likely to be addressed in more detail in the security sector development plan.
Communication Strategies	Given the sensitive nature of NSPs, some mention ought to be made to the need for communication strategies targeting the government, specific Ministries, civil society, and the international community. This is important to make sure that the general public is informed, and that supporting Ministries understand the importance of contributing to the effective implementation of the strategy.
Implementation	Reference may be made to the implementation of the security strategy through the need to develop a security sector development plan. This may be done separately or be included in the annex of the NSS.
M&E	Reference should be made to the need for monitoring and evaluation. This may take the form of a regularised system, may be ad hoc, or may constitute of a one off review. In some cases there may be no clear mechanism at all.

Phase D - Formulate National Security and Justice Reform Plans

National security sector development (or reform) plans go into the detail about the changes required within the security sector to meet the objectives set out in the higher level National Security Strategy, and the goals and vision set out in the National Security Policy. The plan sets out specific steps showing how the strategy will be implemented over time and how it will be budgeted as considered in the Defence Expenditure Review.

At the national security level, the plan should be cross-governmental and cross-sectoral. It should consider the application of human rights principles such as child protection and gender equality, as well the interaction with oversight bodies such as parliamentary committees and ombuds institutions.

As development moves into designing and implementing the architecture of the security sector, then the complexity of the task at hand will tend to subdivide into the traditional sectoral areas of police/interior, judiciary, defence, intelligence, ideally with strong reference and collaboration across sectors to show the interplay, for instance, in the criminal-justice chain. At the national level there will probably also be crisis management centre plans, natural disaster plans, and emergency preparedness plans.

Plans must:

- Have an aim
- Have sufficient resources

> **Definition**
>
> Security development plans should outline the specific changes (development/reform/transformation) required within the national security architecture in response to the needs of, threats to and vision and objectives for national security articulated in the national policy and/or strategy. Ideally, plans should also contain clear goals and indicators, to encourage measurement of impact and to contribute to public communications campaigns outlining the progress of specific reforms."
>
> *SSR Integrated Technical Guidance Notes* UN 2012

- Have a process for using the resources
- Be timely
- Be flexible
- Take into account the likelihood that external activities will affect the plan, at least in the detail

Even with all of these points taken into account, plans are likely to have to be altered and improvised as real events overtake the planners' idealised model of events.

Phase E- Improve National Security and Justice Architecture

The objective of a reform phase is to define how the sector or organisation under reform will operate in the future, based on the national security and justice strategic framework documents that were created in the previous phases and would typically include: the national security and justice policy, national security and justice strategy and the national security and justice reform plans. It is expected that reform objectives would have an impact on the architectural aspects of the sector or sectors that will be undergoing a reform process. The diagram below showcases the linkages between the strategic framework of the reform process and the capability and operational requirements. Based on the below structure, you should be able to assess the relevance of the current situation to the future, identify gaps, and make a plan for closing them.
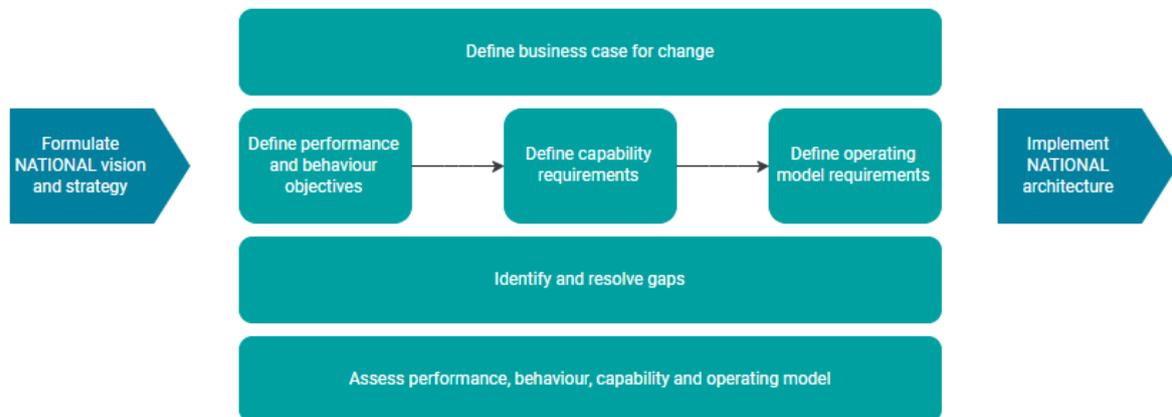

In addition, the focus is to take a systemic approach that will allow areas such as information architecture, organization design, logistics architecture, as well as others, to be included in evaluating the opportunities within the sector. Designing the architecture of a sector or institution from a clean slate is a luxury that most sectors do not have. Most institutions have grown up organically, and have developed in response to needs which have sometime fallen by the wayside or have been skewed by a lack of resources or skills in one area, or even worse by corruption. Disentangling these structures can be at the heart of some very entrenched interests. It may be important under such circumstances to manage expectations early and to offer practical insight into the benefits of restructuring processes. Whilst there are a plethora of ways to tackle how to design the architecture of a sector or institution, and to look at the aspects or building blocks of that architecture, this methodology looks at five key inputs that make up the architecture of most institutions. A failure to

pay due attention to core processes and their impact on the architecture when reforming the security and justice sectors will tend to result in flaws in the operation of the institution.

The typical five key elements a reform expert should look at whilst reforming institutional architecture are reflected in the below diagram:

- Core processes
- Human resources
- Equipment and facilities
- Information systems and Technology
- Culture
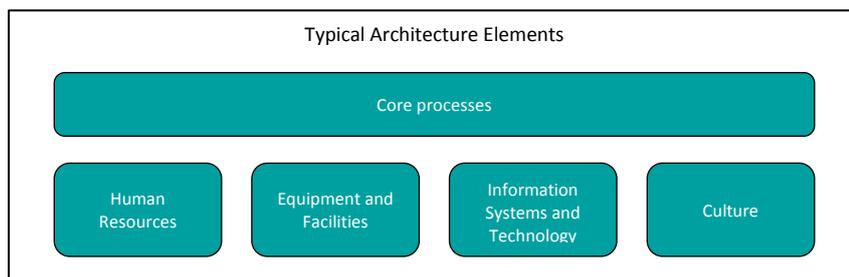
Tackling organisational architecture issues should be informed by the national and sectoral policies and strategies in the areas of security and justice. These foundational documents with their subsequent reform plans inform what the core functions and deliverables of the security and justice sector ought to be.

1
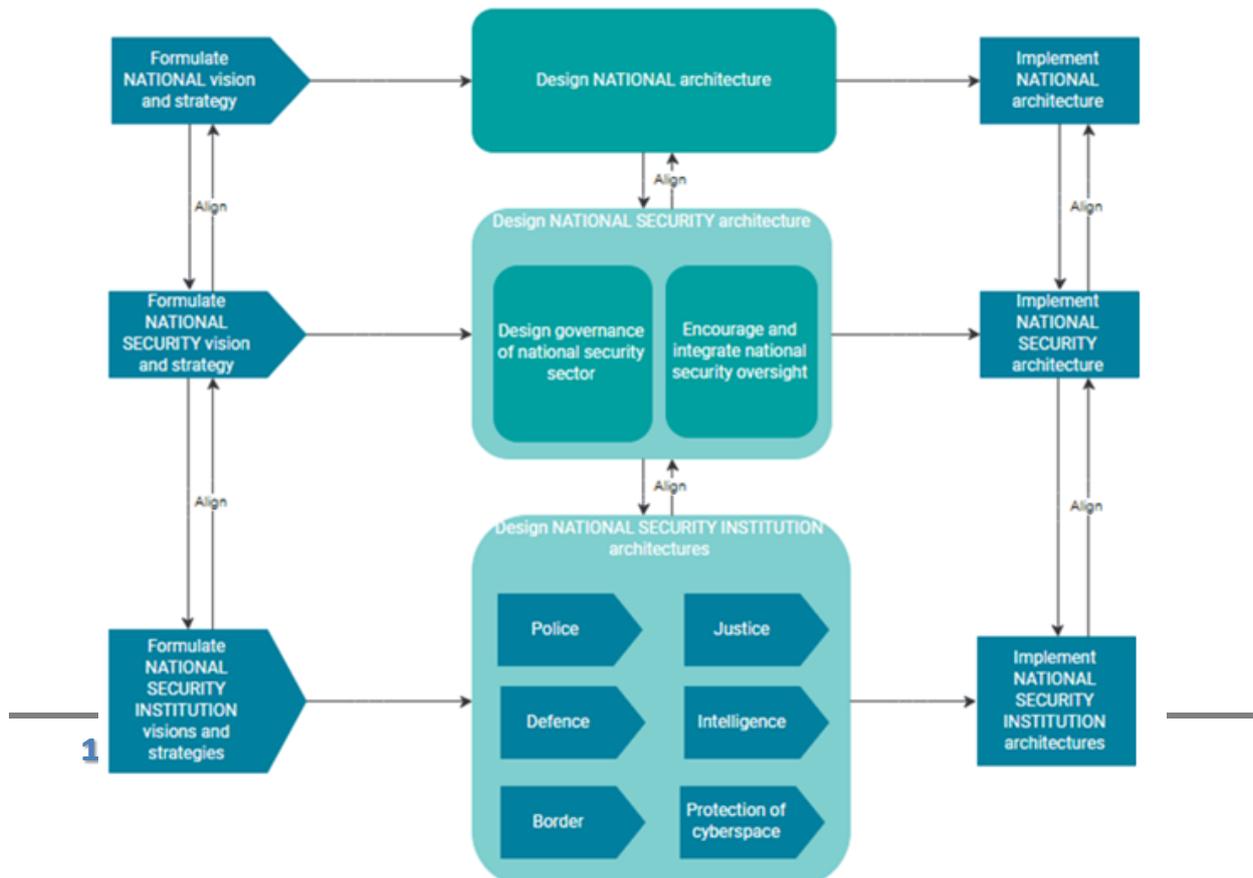
Governance and Oversight

However, delivery of services and products should not be the only concern of security and justice institutions, rigorous, systemic and adequate oversight functions should be fully integrated into the architecture. This is where the role of international partners could be key and assisting national partners to integrate governance and oversight issues. Where international actors might be required to support is in the below two areas of focus:

- Encouraging and integrating national internal and external oversight functions
- Improving national governance structures and functions

RISK: Oversight is generally only effective if it is designed in alignment with the service it is tasked to oversee. Without this the oversight body risks attempting to carry out its work without effective access, cooperation or the trust of the service it is trying to oversee. This alignment may require the reform of the architecture of the security actor/service itself.

Governance and oversight of the security sector are two slightly different things. Governance implies a greater level of control. Oversight might not have direct control but, in a society with good governance, will be part of a reinforcing mechanism in a virtuous feedback loop together with governance. For a definition of governance see the explanation box on the right.

Oversight is an integral part of good governance. It is made up of the checks and balances on power, contributes to rule of law, and is one of the many important roles of civil society.

Oversight of the security sector comes in many forms:

- Multilateral and bilateral treaties and bodies
- Parliamentary committees on security, defence and the interior
- Internal oversight mechanisms
- Ombuds institution or public complaints commission
- The media
- Civil society organisations

Explanation:

"Good governance is epitomised by predictable, open and enlightened policy-making, a bureaucracy imbued with a professional ethos acting in furtherance of the public good, the rule of law, transparent processes, and a strong civil society participating in public affairs. Poor governance (on the other hand) is characterised by arbitrary policy-making, unaccountable bureaucracies, unenforced or unjust legal systems, the abuse of executive power, a civil society unengaged in public life, and widespread corruption."

Governance: The World Bank's Experience World Bank. 1994.

Some of the entry points for tackling oversight mechanisms are reflected in the following diagram:

External Oversight Mechanisms				Internal Oversight Mechanisms
Starting or Joining Multilaterlal or Bilateral Treaties and Bodies	Establishing or Reforming Parliamentary Committees	Building Ombuds Institutions	Developing the capacity of Civil Society and the Media	Creating internal oversight bodies