

# 1 GOVERNANCE in SECURITY

## DEFINITION

There is no exhaustive definition of governance. There is good governance and bad governance. Whilst governance is the exercise of authority and power, it is not the same as Government. 'The term "governance" can be used to describe the rules by which an organization, like a company or a government institution, is run. But "governance" can also mean all the formal and informal processes, actors and values'<sup>1</sup> that shape the provision and use of any kind of shared good. These include social norms for interacting with other people or use of the world's resources, or the proper conduct and training of soldiers in exercising the use of force.

## RELATED THEMES

Rule of Law, Service Delivery and Management, Participation and Equality, Human Rights, Anti-Corruption, Controlling Military and Police Activities, Accountability and Transparency, Leadership, Legitimacy, Democratization, Electoral Process

## RELEVANCY FOR CONFLICT

Good governance is essential for fair economic development, justice and security. It is key to the prevention of conflict and particularly for recovery post conflict. Good governance at a structural and systemic level paves the way for rule of law at the individual level. Poor governance of a country's political system can bring about considerable conflict among calls for reform of parliament, presidency and the electoral system. Due to the critical role that security institutions play in upholding rule of law, poor governance of the security sector quickly leads to opportunities for corruption, misuse of security forces, abuse of power, and descent into insecurity and lawlessness.

## CONTEXT

The comprehensive context of today's and future military missions means that strengthening good governance of both the political system and the security sector is forming an increasingly important element of the mission. Improving governance is important both for the public and political appreciation of the success of any national reform process, as well as of any part that external assistance and intervention play in the reform. While good governance encompasses many aspects beyond the security sector, including a free and fair political system and sharing of national resources, a military contribution to improving governance generally can have significant insight, entry and legitimacy by concentrating on the governance, accountability, and integrity of the security sector at the organizational and individual level.

Defence or military engagement during peacetime, or peace enforcement and peacekeeping missions during or after conflict will quickly encounter the complexity of the political and

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<sup>1</sup> DCAF SSR Backgrounders, *Security Sector Governance* <http://ssrbackgrounders.org/fall.php?p=25&l=EN>

governance landscape. In the absence of strong governance or civil society, or when the military are first to secure and gain local confidence, it is enticing to use the military to continue momentum and build up state functions. It is however *not* the task of the military to take over the job of local or even international civil actors. Reform of any sector will need to consider moving at a pace and along opportunities that maximise national ownership, sustainability, and fit as part of a whole system. This has brought about the consideration of 'good enough governance'<sup>2</sup>.

Good governance of the security sector will generally encompass the following characteristics<sup>3</sup>:

- Accountability – including sanctions for breaches, and checks against impunity
- Effectiveness – service responsibilities completed to a high professional standard
- Efficiency – services making the best possible use of public resources in their duties
- Participation – inclusive opportunities for all men and women of all backgrounds
- Responsiveness – a service sensitive to the different security needs of the population
- Rule of law – for all persons and institutions, including the state
- Transparency – of information and processes, made available to the widest public audience where possible, or to suitable accountable institutions.

## MILITARY CONTRIBUTION

Based on a comprehensive assessment conducted in conjunction with local and international civil actors (see the Understand chapter), a military contribution to governance in security should maximise on what is already in place, both state and non-state, and be sensitive to what is socially and politically possible. The following institutional features<sup>4</sup> of good security sector governance give aiming points for the military contribution to governance in security:

- The use of force is defined and conducted according to a legal framework
- Control and management of the security sector are institutionalized (not personalized)
- Security sector institutions have sufficient capacity to fulfill their responsibilities effectively and sustainably
- The mandates and missions of different private and public security actors are clear and distinct
- The security sector functions according to a culture of public service.

As an interlocking system of checks and balances, good governance of the security sector will need to nurture processes throughout all levels of service for the following:

**Leadership** is an area that the military majors in. Leadership needs nurturing and is necessary at all levels of command, from the lance corporal up. Leadership style changes considerably, but has been evidenced throughout the ages and continues to be revised even by modern armies in order to keep up with the demands of modern warfare and public legitimacy.<sup>5</sup> Within the military it can take the form of command and control (C2), mission command, systems of delegation, personal discipline and integrity.

**Framework and policy development** can range from the constitution and legal frameworks,

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<sup>2</sup> See Grindle, M *Good Enough Governance Revisited* (2011); also Lawrence, T *Twenty-seven Articles* (1917) 'Do not try to do too much with your own hands. Better the Arabs do it tolerably than that you do it perfectly.'

<sup>3</sup> DCAF, SSR Backgrounders *Security Sector Governance*; also UNESCAP *What is Good Governance?*

<sup>4</sup> For full citation see DCAF, SSR Backgrounders *Security Sector Governance*

<sup>5</sup> See Sun Zi *The Art of War* 'By leadership I mean the general's qualities of wisdom, sincerity, humanity, courage, and strictness ...'; General Graf von Baudissin on 'leadership development' within the German army after WWII; the UK's Army Leadership Code (2016).

including a possible Law on the Army, through to Codes of Conducts – including values and standards, military justice, and the acknowledged role of integrity and a sense of duty as the state representative for the legitimate use of force. In addition to formal policy development often imposed by civilian oversight, it is also about the military doctrinal development of the moral aspects of fighting and of war.<sup>6</sup>

**Oversight** can be divided into internal and external oversight mechanisms. The military will have little control over the development of external control mechanisms, such as ombuds institutions, legislative defence committees, and the media, but it does have considerable control over the development of internal control mechanisms. The latter range from armoury checks, stores inventories, annual tests, post operational reports and lessons, to protective marking systems, army regulations and standard operating procedures (SOPS), equipment procurement procedures, as well as Unit safety and security checks.

**Management** includes management of performance, human resources, and of finances. Good management creates effective, efficient and professional security organisations, and improves the use of resources and service delivery. Furthermore, it ensures the right people are in the right job, and can help increase participation of marginalised groups. It is also essential for policy implementation within the military. Management requires specific training, like any other skill.

**Legitimacy** of the Host Nation security structures and governance (and any external assistance to them) is ultimately the local people's acceptance and trust in them. The legal right to the monopoly of force does not make it legitimate per se. On the contrary, a top-down approach in societies that value informal non-state structures, especially where formal state structures are abusive, will gain little legitimacy and trust. Ways to gain such trust is through openness<sup>7</sup>, communication, transparency, political independence, and a fair service-oriented culture<sup>8</sup>. Transparency does not need to compromise confidentiality, but it does reject secrecy.

**Representation.** Fair security and justice should be delivered irrespective of gender, age, ethnicity, religion, political affiliation, etc. From a military perspective, the delivery of security can be improved if gender, ethnicity and diversity of background are adequately represented in the sector. Whilst this may take time to fulfill, the opportunity for participation can be nurtured so that perceived or actual cultural and structural barriers do not become reasons for potential conflict. This will require understanding what barriers there are to representation, and communicating changes and opportunities to previously disaffected parts of the population.

## Required Reading/Further Resources

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<sup>6</sup> British Defence Doctrine considers that fighting power is made of three components, physical, intellectual, and moral - if any of the three are lacking then fighting power will be weakened; Sun Zi and Clausewitz similarly major on the moral aspects of the art of war.

<sup>7</sup> See case study on Burundi Army Unit Open Day <http://africacenter.org/wp-content/uploads/2014/11/ASB-29-Lessons-from-Burundis-SSR-Process.pdf>

<sup>8</sup> See case study on The Philippines Civil-Society Police Military Capacity Building <http://africacenter.org/wp-content/uploads/2014/11/ASB-29-Lessons-from-Burundis-SSR-Process.pdf>

CCOE *Good Governance Makes Sense*, (2012) ISBN 978-90-813165-3-8  
DCAF *Security Sector Governance SSR Backgrounders* (2015)  
[place holder for DCAF-ISSAT *What is Governance?* Infographic (2016)]  
Grindle M.S. *Good Enough Governance Revisited*, Development Policy Review, Volume 29 (2011)  
United Nations UNESCAP *What is Good Governance?*  
<http://www.unescap.org/sites/default/files/good-governance.pdf>  
[place holder for US Army War College product from workshop on Governance and Security Force Assistance <http://pksoi.army.mil/conferences/psotew/> (2016)]

## CHECKLIST QUESTIONS

What is the legal, policy and doctrinal framework governing the armed forces?  
How does the military interact and respond to this framework?  
What monitoring is in place to ensure compliance with laws, regulations and policies?  
How are those who transgress the law being called to account?  
How is leadership developed and nurtured in the Host Nation military?  
How is good leadership recognized, rewarded, and promoted?  
What values and standards are the Host Nation military working to?  
Are these values and standards formalized, or informal, and how are they tested?  
How does the Host Nation military identify systemic problems and make policy recommendations for reform?  
How does the Host Nation military support institutional and behavioural change once policy and doctrinal changes have been made?  
What checks are in place to oversee the effectiveness and efficiency of security sector institutions and to ensure that public funds are not being misused?  
How do civil actors and the populace at large contribute to defining security policies?  
How are the various oversight processes monitored to ensure they too are performing correctly?  
What criteria is in place for promotion, eligibility for career development, or retirement?  
What system is in place to overview human resources, their skills and needs?  
What chain of payment systems are in place, and how are administrators trained to use them?  
What anti-corruption mechanisms are in place and at what levels? (see Anti-corruption theme)  
How does the disciplinary system work?  
How is policy and doctrine translated into field manuals and TTPs (tactics, techniques and practices) e.g. combatting conflict related sexual abuse?  
What is public perception of the Host Nation military?  
How does the Host Nation military compare with non-state security providers?  
What are the attitudes, internal and external to the Host Nation armed forces, to the inclusion of women, LGBT, and minority groups in the military?