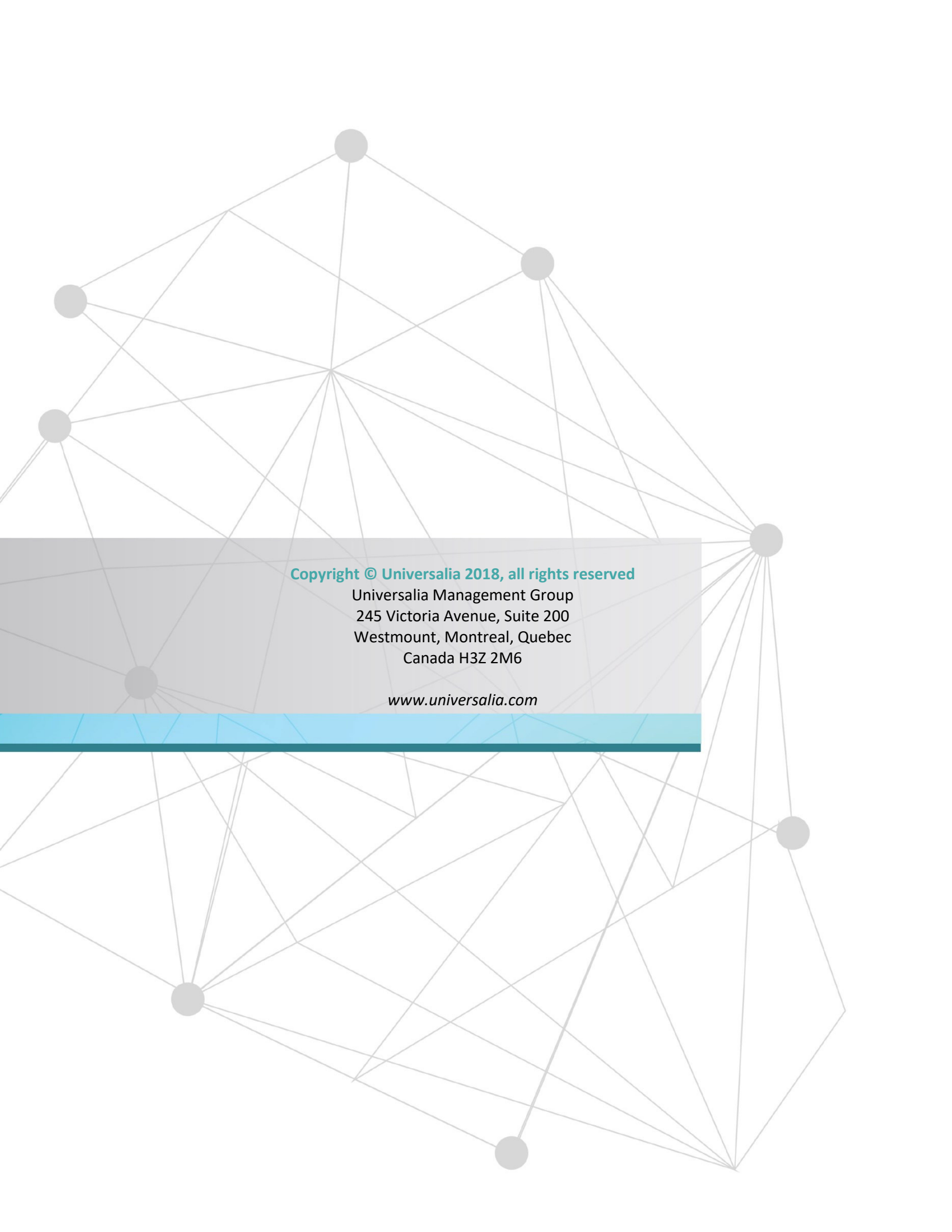


External Evaluation of the Geneva Centres

Volume 1: Synthesis Report

FINAL REPORT | MAY 2018



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Executive Summary

This evaluation report, prepared by Universalialia Management Group (Universalialia or the evaluation team), assesses the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF), collectively known as the Geneva Centres. This is the first volume of a six-volume report and should be read in tandem with the companion volumes focusing on each of the Centres individually. The evaluation is mandated by the Swiss Federal Parliament, through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch) and considers the OECD/DAC criteria of relevance, effectiveness, efficiency and sustainability of each Centre, as well as providing insights on the synergies between them. The purpose of the evaluation is to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023. The objectives of the evaluation were: to account for the activities and results of the GCSP, GICHD and DCAF between mid-2014 and mid-2017; and to contribute to internal learning and corporate development.

Methodology

The evaluation was framed by an evaluation matrix based on the questions outlined in the Terms of Reference, organized under the four OECD/DAC evaluation criteria. The evaluation team used a participatory and utilisation-focused approach and undertook: semi-structured interviews with 154 people; SWOT workshops with staff at each of the Centres; a document review of key internal documentation and related literature; two online surveys, one focused on gathering staff perspectives and the second focused on external stakeholder perspectives, with a total of 415 responses in all; in-country field missions to Ukraine and Mali and virtual field missions in

Tunisia and Lebanon. The limitations to this evaluation included the tight timeframe, the potential for stakeholder bias as all consulted external stakeholders were identified by the Centres themselves, selecting countries relevant to all Centres for field missions given that only DCAF has a permanent field presence, and finally, the fact that the Centres are at different moments in their corporate development.

Relevance

The Centres attach great importance to evaluating the needs in their respective fields. DCAF and GICHD both have Results-Based Management (RBM) systems in place to monitor and adapt to trends, needs and resources. GCSP has weekly, informal, 'horizon scanning' meetings. Each Centre has in-house regional expertise and language expertise and GICHD and DCAF have the capacity to deploy staff across the world. There is thematic alignment between the Centres' strategies and Swiss international policy objectives, reflecting a general consensus around Swiss priorities in humanitarian demining, Security Sector Reform/Governance (SSR/G) and security policy needs. However, the Centres have not had processes in place to systematically analyse or anticipate the needs of donors other than Switzerland, although this is changing, particularly with the example of DCAF's most recent strategy.

Each of the Centres is perceived as a leading institution in their respective area of expertise. The reputation of each of the Centres is associated with Swiss values of neutrality and independence, which strengthen their relevance in the sensitive political fields in which they work. Stakeholders also highlighted the added-value of the highly-skilled, diverse and committed pool of experts and staff within each centre. The Centres also have a strong

track record of including gender in their programmes and policies, both thematically and operationally.

The Centres moved to a new working environment at the Maison de la Paix (MdP) from 2014 onwards. The facilities provide a pleasant working environment advantageously located in International Geneva. The move is viewed positively by most staff members across the Centres and is felt to have buoyed the efforts of each of the Centres to raise their respective international profiles: the Centres have placed an emphasis on developing capacities for external communications (DCAF and GICHD) or marketing (GCSP). The move to MdP and the closer proximity of the Centres' staff, as well as the incentives created by Swiss contributions, have also encouraged greater cooperation on programmatic activities: the Centres published a joint strategy for MdP and currently have 33 joint projects, served by a budget of CHF1.7 million from the Swiss Confederation. The potential for further synergies must be balanced with the recognition that there is a limit to how many initiatives three distinct organisations can meaningfully collaborate on. Synergies are best created from the bottom up.

Effectiveness

The Centres are all at different stages in their development. GICHD has generally good management processes, with a recently rationalised organisational structure and a clear strategic direction thanks to the development of strategic plans and the integration of RBM processes. GCSP has undergone a substantial process in management reform and strategic reorientation, developing an ambitious vision for 2020 that repositions the Centre as a dynamic, client-driven training institution. There is a high-level of satisfaction with the new structure and staff are eager to consolidate the changes and the gains made so as not to overstretch staff capacity. DCAF is in the midst of a major change management process that has standardised and professionalised

management procedures, reorganised and consolidated the Centres Divisions and created a more unified organisation with a transparent strategic direction. This ongoing process requires time to see results. The Centres also demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP.

In terms of monitoring and reporting, GICHD has the most developed RBM system, which was simplified after a stocktaking exercise in 2016-2017. DCAF's RBM system became fully operational in 2017 after a two-year piloting process, culminating in a first ever Performance Report for 2016. GCSP has developed the tools of a monitoring system but there is no evidence of an integrated RBM system. The programmatic and fiduciary oversight of the Centres' activities by their governance structures are not as strong as they could be. GICHD has the strongest governance oversight, thanks to a small and engaged Foundation Council and an active Advisory Board, while GCSP and DCAF are working on ways to encourage more meaningful engagement from Council members.

The Centres have globally achieved their objectives. GICHD reports that seven out of nine strategy outcomes are on track to be achieved by the end of its 2018 strategic plan. GCSP has a wide variety of outputs, with a significant increase in the number of courses, including fee-paying courses, as well as an expanded and engaged alumni network and a rapidly developing Global Fellows Initiative. DCAF's first Performance Report (2016) shows that there has been important progress in monitoring results and achieving outcomes in providing legal and policy advice, and in building capacities at the institutional, society and individual level.

Efficiency

All three Centres have worked hard to diversify their financial sources, and all have surpassed the requirements set out in the Federal Dispatch. It is important to note that new

funding sources for the Centres are generally providing project funding, which is difficult to sustain and does not ensure the long-term viability of the Centres; the core support of Switzerland remains crucial. All the Centres' financial management and control procedures conform with national and international standards. GCSP has made noteworthy efficiencies during the evaluation period, reducing the cost of running courses while almost doubling the number of courses that it delivers. However, the core operating needs of all three Centres are strained and would benefit from investment, particularly in DCAF's Resources Department, GICHD's RBM staff position. The level of ambition of GCSP's Vision 2020 could test staff capacity in the future.

Sustainability

DCAF and GICHD's focus on working with national authorities and partners favours sustainable outcomes. GICHD is at the heart of national and international policy debates and standards setting through strong partnerships with key Implementation Support Units. DCAF is the only Centre with permanent field presence to sustain long-term operations, accompanying reform projects and working to create a sense of national ownership over SSR solutions. GCSP collects testimonies and comments from its Alumni network that demonstrate the value of its work for participants, their knowledge and their careers. The Centres are planning seriously for the future and all are making substantial efforts to diversify the sources of their funding and assessing what they need to meet the needs of the future.

Conclusions

Overall, the findings for the Centres are positive. Highly regarded by their donors, partners and peers, the Centres are seen as leaders in their respective fields. The Centres support Swiss strategic objectives and the move to the MdP has established a prestigious hub of activity in the heart of International Geneva. The synergies between the Centres are good

but the most fruitful collaborations are developed from the bottom up. Fiduciary, strategic and programmatic oversight from the Foundation Councils is modest and should be strengthened: GICHD provides a good example of a smaller, more engaged Foundation Council with a valuable Advisory Board. The nature of the working models of GICHD and DCAF, with a focus on working with national authorities and partners, supports the achievement of sustainable outcomes. GCSP's emphasis on education and training should also contribute to lasting change but there is little monitoring evidence to assure this. The Centres are all forward looking and have great potential for the next phase of their development. Overall, Swiss support – financial, in-kind and strategic – is crucial for the continuation of the Centres and their contribution to global security.

Recommendations

The Swiss Confederation

Recommendation 1: As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.

Recommendation 2: The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.

Recommendation 3: The Swiss Confederation should stop funding "forced synergies" and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

The Foundation Councils

Recommendation 1: Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve

strategic coherence, information sharing and reach.

Recommendation 2: The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.

Recommendation 3: The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

DCAF

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

GCSP

Recommendation 1: The Bureau should support the Director in establishing an Advisory

Board that can provide strategic direction and programmatic support to the Centre

Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Recommendation 3: The SMT should consolidate the implementation of a Results-Based Management process.

Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

GICHD

Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to effectively support and continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.

Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.

Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of pilot decentralised regional teams (technical/policy/standards).

Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

Acronyms

CdP	Comité de Pilotage
DCAF	Geneva Centre for the Democratic Control of the Armed Forces
DDR	Disarmament, Demobilization and Reintegration
DPKO	Department of Peacekeeping Operations
DPPS	Federal Department for Defence, Civil Protection and Sport
EQ	Evaluation Question
FDFA	Federal Department of Foreign Affairs
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
ICT	Information and Communications Technology
IHEID	Graduate Institute of International and Development Studies
IMAS	International Mine Action Standards
ISU	Implementation Support Unit
LMAC	Lebanon Mine Action Centre
MdP	Maison de la Paix
NGO	Non-Governmental Organization
NMAS	National Mine Action Standards
OECD/DAC	Organisation for Economic Cooperation and Development / Development Assistance Committee
PBSO	Peacebuilding Support Office
PD	Political Directorate
RBM	Results-Based Management
SAS	Small Arms Survey
SDC	Swiss Agency for Development Cooperation
SDG	Sustainable Development Goal

SSG	Security Sector Governance
SSR	Security Sector Reform
SWOT	Strengths, Weaknesses, Opportunities and Threats
TOR	Terms of Reference
UMG	Universal Management Group
UN	United Nations

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1 Introduction

1. Universalialia Management Group (Universalialia or the evaluation team) is pleased to submit this series of evaluation reports for the External Evaluation of the Geneva Centres. The Geneva Centres are: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF).
2. This synthesis report introduces the evaluation and the methodology, a summary of findings for each of the three Geneva Centres assessed in this evaluation, conclusions to the evaluation and recommendations for the Swiss Confederation, the Centres' Foundation Councils and the Centres themselves. This synthesis report is the first volume of a six-volume report. It should be read in tandem with: the three companion evaluation reports that focus on each of the Centres individually, presented in Volumes 2, 3 and 4; the country vignettes produced after in-person and virtual field missions to Lebanon, Mali, Tunisia and Ukraine provided in Volume 5; and the appendices for the evaluation and the component reports presented in Volume 6.

1.1 Evaluation purpose and objectives

3. The evaluation is mandated by the Swiss Federal Parliament, through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The Terms of Reference (TOR) for the evaluation are detailed in Volume 6, Appendix I.
4. The main purpose of the evaluation is to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023. It considers the relevance, effectiveness, efficiency and sustainability of each of the three Centres separately and provides insights on the synergies between them and how they compare to one another.
5. Within this overall purpose, the evaluation has two objectives:
 - **Accountability:** account for the activities and positions of the GCSP, GICHD and DCAF between mid-2014 and mid-2017 and the results achieved. This information will be used to report to the Swiss Parliament on the implementation of the current framework credit line in the current Federal Dispatch.
 - **Learning:** contribute to the corporate development of GCSP, GICHD and DCAF and foster the process of formulating a strategy paper for each Centre. Corporate development implies various facets of strategy development, strategy implementation, measures to address gaps/deal with strategy, as well as all the instruments, methods and leverage that are used to steer the developments of the Centres.
6. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.
7. The primary intended users of this evaluation are the members of the Comité de Pilotage (CdP) (composed of representatives of the Federal Department of Foreign Affairs (FDFA), including the Political Directorate (PD), the Swiss Agency for Development Cooperation (SDC), the Federal Department for Defence, Civil Protection and Sport (DPPS), including the General Secretariat, and

International Relations Defence), the Foundation Councils as well as the management staff of the three Geneva Centres.

2 Methodology

2.1 Summary of methodology

8. This section presents a summary of the methodology employed for the evaluation of all three Geneva Centres. For a more detailed description, please refer to Volume 6, Appendix II.

9. The evaluation was framed by an evaluation matrix based on the questions outlined in the TOR, organised under four OECD/DAC evaluation criteria: relevance, effectiveness, efficiency and sustainability. The evaluation matrix is provided in Volume 6, Appendix III.

10. The evaluation team used a participatory and utilisation-focused approach. The following methods of data collection were used:

- Semi-structured interviews: We interviewed a total of 154 people in person and over the phone. This was split into 40 pertaining to the evaluation of DCAF, 36 to the evaluation of GCSP and 26 to the evaluation of GICHD. Overall, 41% of stakeholders consulted were female, 58% male. A full list of consulted stakeholders is available in Volume 6, Appendix IV and interview protocols are presented in Volume 6, Appendix V.
- SWOT workshops: We facilitated workshops with staff at each of the Centres to brainstorm their opinions on the key Strengths, Weaknesses, Opportunities and Threats (SWOT) of their organisations. At DCAF, we held three separate workshops: with the Senior Management Team; with the management staff; and with operational staff. At GICHD and GCSP, we held two separate workshops; one with management staff and another with operational staff. A full list of participating staff is available in Volume 6, Appendix IV.
- Document review: We conducted a review of key documentation for each of the Centres, as well as documents that pertained to the Centres collectively and to Swiss strategies and needs, and the literature pertaining to the relative areas of expertise of the Centres. A list of documents consulted is available in Volume 6, Appendix VII.
- Surveys: after a brief survey pilot to review our survey questions, we administered two separate online surveys for each Centre: an internal survey for staff and an external survey for other key external stakeholders identified by the Centres. After consultations with the Centres during the first week of the survey period, we translated both surveys into French and sent reminders to those who had not yet responded. Survey templates are presented in Volume 6, Appendix VIII and a summary and analysis of each of the surveys is available in Volume 6, Appendix IX. A total of 415 people responded to our surveys. The surveys had strong response rates, detailed in Table 2.1 below:

Table 2.1 *Response rates for online surveys*

CENTRE	INTERNAL STAFF SURVEY	EXTERNAL STAKEHOLDER SURVEY

DCAF	67%; 147 responses	43%; 63 responses
GCSP	84%; 56 responses	43%; 59 responses
GICHD	76%; 45 responses	39%; 45 responses

- In country and virtual field missions: the evaluation team conducted two in-country field missions in Ukraine and Mali, as well as two virtual field missions in Tunisia and Lebanon. The missions led to the development of illustrative vignettes of the Centres' relevance, effectiveness and synergies between the Centres in their activities in country and were based on in-person and telephone interviews and a document review. The field mission vignettes are available in Volume 5.

2.2 Limitations

11. The evaluation team encountered some limitations when conducting data collection and analysis:
 - Timeframe: The team dedicated significant time to data collection, analysis and reporting for each of the Centres, meaning that the production of the draft report analysing the synergies between the Centres was challenging in the time and resources available.
 - There is a potential for stakeholder bias. We spoke to 49 external stakeholders and surveyed 167 more. However, these contacts were chosen mainly by the Centres themselves, leading to a potential for stakeholder bias.
 - Choosing countries that are relevant to all three Centres for field missions. Apart from DCAF, the Centres have no permanent field presence. We worked with the Centres and the CdP to identify countries that were both feasible and useful. Nevertheless, there are limitations to the extent to which these missions were able to inform the findings for all three Centres.
 - The Centres are at different moments in their development. For DCAF, this was not the most opportune time to undertake an evaluation as the Centre is in the mid-stages of a major change management process. As the change is so near to the end of the evaluation period, the process is yet to bear fruit, making the evaluation's conclusions less enduring than they would have been had the evaluation taken place further into the renewal process.

3 Synthesis of findings for the three Centres

12. This section summarises and synthesises the key findings for each of the Geneva Centres. For a more detailed assessment, please see the volume specific to each of the Centres: Volume 2 (DCAF), Volume 3 (GCSP) and Volume 4 (GICHD). Volume 5 provides details of the findings of the country vignettes. Appendices for this evaluation are in Volume 6.

3.1 Relevance

Finding 1: The Centres succeed in staying abreast of and analysing the latest thematic trends and developments in their areas of expertise. However, the analysis of donor trends and strategic needs has not been carried out in a systematic manner. (EQ1.1)

13. All three of the Centres have processes in place to ensure they remain up to date with the latest trends and developments in their respective sectors. DCAF and GICHD have both Results-Based Management (RBM) systems to monitor and adapt to trends, needs and resources. GCSP has weekly 'horizon scanning' meetings but these are not reported formally.

14. Overall, the Centres attach great importance to evaluating the state of the world and the needs in their field of competence. Each Centre has in-house regional expertise, as well as language expertise. GICHD and DCAF can deploy staff in diverse contexts across the globe. DCAF's operations department is divided in six regional divisions; GICHD enhances its activities through regional cooperation programmes; and GCSP has developed a Regional Perspectives Programme to focus on regional challenges in some courses. GICHD undertakes an analysis of its operating environment before any strategic planning exercise. The Centre is also in constant contact with its Foundation Council Members and Bureau and participates in all relevant conferences in Geneva to keep up to date with emerging trends in the field of mine action and broader humanitarian-development sectors.

15. While the Centres' work does respond to the needs of donors and of affected or beneficiary states, the Centres have not been systematic in analysing and anticipating donor needs and strategies – although this is changing at DCAF within the context of its change management process. GCSP's 2014-2020 strategic map sets out a competition diagram with 29 institutions providing Executive Education divided into seven categories but there is a need to strengthen the Centre's analysis of key topics that will support corporate development, with a more detailed analysis of the competitive environment over time. The Centre needs to strengthen its competition analysis and monitoring, as well as improving its capacity to define and analyse target audience needs in a systematic and detailed way.

16. The evaluation period covers two GICHD strategies (2012-2014 and 2015-2018) that include an analysis of trends and developments in the field of mine action and how to respond to continuing needs in the sector needs. These documents do not contain sections dedicated explicitly to analysing donor trends and needs, though this was part of the planning process for the document. Additionally, GICHD

conducts regular bilateral consultations with donors and organises yearly seminars for donors to gain insights into the latest trends. In 2017 GICHD also began to implement its strategy towards developing partnerships with the private sector. The most recent DCAF strategy provides an example of how the Centres could be more strategic in thinking about the future needs of donors, setting out a DCAF approach and analysing donor trends. This was previously not the case at DCAF, which has been unsystematic and ad hoc in its approach to donor analysis.

Finding 2: There is thematic alignment between the Centres' strategies and Swiss international policy objectives. (EQ1.2)

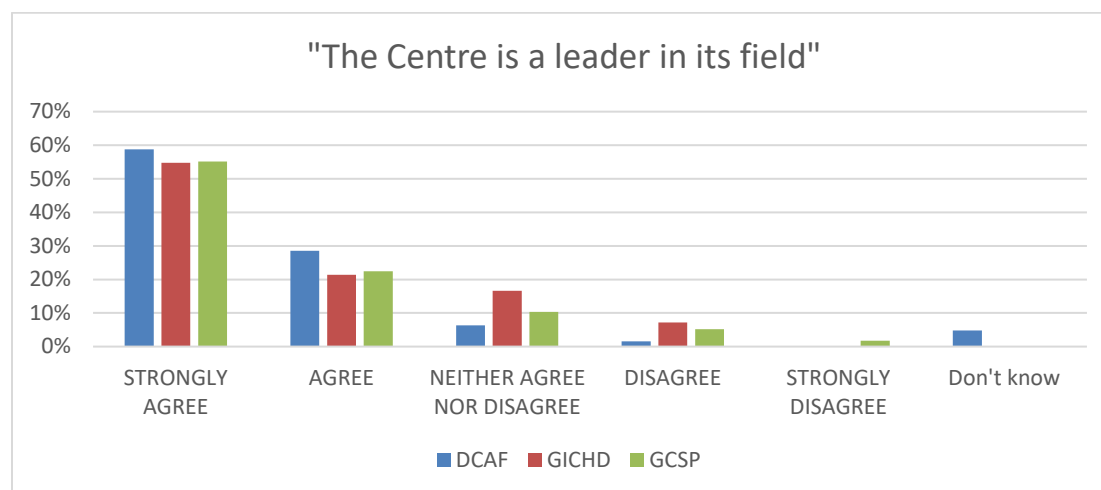
17. In terms of policy objectives, all three Centres take Swiss international needs and interests into consideration. GICHD's strategies are clearly aligned with the objectives expressed by the Swiss Confederation in its two dispatches to Parliament, the framework agreements and the Swiss mine action strategy for 2016-2019. Within GCSP, Vision 2020 and the 2014-2019 Strategic map are strategically aligned with Swiss international security policy and priorities. When it comes to DCAF, the Centre's Strategies 2017-2019 is also in line with the expectations of the Swiss Confederation. In terms of regional focus and thematic expertise, the three Geneva Centres all answer Swiss interests.

18. None of the periods covered by the Centres' strategies is currently aligned with the Swiss legislative period (2012-2015 and 2016-2019). Indeed, the strategies of the Centres are written before the renewal of the Swiss Federal Dispatches, suggesting that the content of the Dispatches is based on the strategies of the Centres, not the other way around. As such, while they are thematically aligned, it is unclear to what extent the needs expressed are those of the Swiss Confederation and Parliament or those of the Centres themselves. However, as long as Swiss officials approve the plan (such as through the Foundation Council and Bureau), the strategies reflect a consensus around what Swiss priorities will be.

Finding 3: The Centres are perceived as important and leading institutions within their areas of expertise. (EQ1.3)

19. Each of the Centres is perceived as a leading institution in its respective area of expertise. Both internal and external GICHD stakeholders recognised the unique role played by the Centre in humanitarian demining. DCAF is perceived to be at the forefront of the SSR/SSG policy and practice and plays a unique role in its field, with close relationships to diverse stakeholders, from national actors, to civil society to multinational companies. GCSP faces a more competitive environment but overall survey respondents and interviewees reported a high regard for the Centre's reputation, which is supported by a strong network of experts and alumni.

20. The reputation of each of the Centres is associated with Swiss values of neutrality and independence, which strengthen their relevance in the sensitive political fields in which they work. Moreover, collected perceptions highlight the added-value of highly-skilled, diverse and committed pool of experts and staff. Over seventy percent of the external stakeholders consulted (who were made up of government partners, UN agencies, NGOs, regional organisations and donors who work with the Centres) agreed or strongly agreed with the statement that "the Centre is a leader in its field" in our online survey.

Figure 3.1 *Positive perceptions of the Centres internationally*

21. An average of 88% of international respondents to each of the Centres' external stakeholders survey agreed or strongly agreed that the Centre they worked most with responded to their needs (95% in the case of DCAF, 80% for GICHD, 90% for GCSP). In a large majority of the written responses for DCAF and GICHD (83% and 80% respectively), stakeholders did not feel that there were any gaps in the scope of the respective Centres' work. Perceptions of GCSP were slightly lower at 68%, with stakeholders suggesting that the GCSP needed to develop presence in countries and regions to be more up to speed with the challenges and needs of their target customers.

22. Over the evaluation period, a consensus grew at DCAF about the need to change the Centre's name to increase its relevance. DCAF staff were concerned that the current name causes misunderstandings about what the Centre does. Staff suggested that they keep the acronym of DCAF, which is recognised internationally, but change the name to the Geneva Centre for Security Sector Governance. The evaluation team understands that this re-branding process has begun with the Swiss Confederation.

Finding 4: The move to the Maison de la Paix has encouraged the Centres to raise their profiles both individually and collectively. Current joint initiatives would benefit from more visibility internally and externally. (EQ1.4)

23. The Maison de la Paix (MdP) was established to create a hub for Swiss institutions working on peace and security. The 2016-2019 Framework Credit establishes three missions for the MdP – to be a place to meet, reflect and act. The Centres took up residence in the MdP from 2014 onwards. The move is viewed positively by most staff members across the Centres and is felt to have encouraged and supported each of the Centres raise their profile in International Geneva and beyond. The facilities are impressive, have a pleasant atmosphere and working environment and are advantageously located close to other institutions in International Geneva.

24. When it comes to sharpening their respective images within this shared environment, the Centres are making efforts to improve their visibility, external communications and sharpen their profiles with respect to each other. GICHD has developed a communication strategy implemented by the External Relations, Policy and Communications Department. This includes GICHD's visual identity and branding, monitoring of the Centre's presence in the media, organisation of internal and external events. DCAF recently hired a Communications Manager, which supports ongoing efforts on internal and external communications over the last 18 months. DCAF redesigned its website and invested in developing and

unifying its corporate brand. It has also translated publications into 50 languages, increasing its global reach. GCSP has developed a Resources Mobilization and Marketing Department, establishing a corporate approach to nurturing customer engagement and alumni outreach. This has led to the development of marketing tools, a major advertising campaign and a larger presence on social media and sharpened website content. For many staff at GCSP, the main issue within the MdP is not the potential competition with the other Centres but its relationship with the Graduate Institute Geneva (IHEID), which is seen internally as both an important partner and a potential competitor in Executive Education.

25. While the Centres worked together long before the move (for instance on Information and Communications Technology (ICT) and RBM), collaboration on programmatic activities has been strengthened thanks to the move. Staff at all three Centres emphasised that the geographic proximity facilitates participation in joint meetings, events and trainings, as well as supporting staff networking and information sharing. Staff have a greater awareness of each other's work across the Centres and there is a better understanding of respective mandates and capacities, which makes it easier to identify opportunities for collaboration.

26. Cooperation on activities has developed both from the top down, incentivised by Swiss contributions, and the bottom up, based on personal contacts between staff. In April 2016, the Centres developed a joint strategy *Maison de la Paix: Multiplying impact for the benefit of peace, security and sustainable development*. This document restates the three missions of the MdP outlined by the Framework Credit and sets out four streams of joint work based on the experience of existing collaboration. Each workstream contains a number of joint activities, not only between the three Centres but also with other organizations housed in the Maison de la Paix.

27. The four workstreams are:

- 1) Assisting partner countries in the implementation of the Sustainable Development Goals (SDGs), particularly SDG 16
- 2) Improving RBM and other methodological approaches relevant to peacebuilding, security and sustainable development
- 3) Supporting partners who face multiple risks from conventional weapons
- 4) Defining responses to new security threats and the challenges of threat convergence.

28. There is a fifth "Miscellaneous" stream that encompasses joint issues not covered by the above, such as the MdP website and outreach and awareness projects with young people in Geneva.

Table 3.1 *Joint projects in the Maison de la Paix*

YEAR	TOTAL NUMBER JOINT PROJECTS	TOTAL AMOUNT CHF
2016	25	2,145,487
2017	33	1,765,378

Source: Sourced from spreadsheets provided by Centres on Maison de la Paix – Joint Activities for 2016 and 2017. Figures are unaudited but provided in good faith. No figures were provided for 2014 and 2015.

29. Joint activities are diverse and include:

- Research and practice Hubs, such as the SDG Hub or the Gender and Diversity in Peace and Security Hub
- Joint training, workshops and events
- A joint video competition for secondary schools through the Bâtisseurs de Paix initiative
- Joint peacebuilding platform
- Joint technical assistance, e.g. DCAF and GICHD work together in Ukraine (see below)
- A joint MdP website
- GCSP capitalises on the expertise in DCAF and GICHD for its courses and events.

30. Full lists of joint activities in 2016 are available in Volume 6, Appendix XI. The figures show that spending on joint projects exceeds the CHF 1.4 million provided by Swiss core contributions for synergies. More cooperation between the centres is planned and DCAF and GICHD have developed a policy paper to guide their collaboration in 2018 onwards.

31. GICHD and DCAF also collaborate in a partnership with the Organization for Security and Co-operation in Europe (OSCE) in Ukraine. This partnership means that the Centres can organise joint activities in Geneva and Kiev, as well as coordinating advisory missions and hosting Ukrainian delegations at the MdP. The Centres also have the freedom to conduct activities independently. Partnering with the OSCE provides both Centres with a link to the field, allowing them to work effectively on an “in and out” basis through ad hoc missions. This partnership is seen as vital to raising awareness about mine action and SSR in the country. There is no evidence of cooperation between the Centres in the other countries assessed for this evaluation, namely Mali, Lebanon and Tunisia.

32. However, the potential for greater cooperation on programme activities must be balanced with the recognition that there is a limit to how many initiatives three distinct organisations can meaningfully collaborate on. Synergies are best created from the bottom up, initiated by staff who have a genuine interest in developing shared tools, activities and networks to further and strengthen their own work. GICHD’s engagement with the Small Arms Survey on Ammunition Management provides a good example of how prospective joint initiatives could be developed between any Centre and other interested entities at the MdP. Current collaborative initiatives would benefit from more visibility internally and externally, rather than insisting on a larger quantity of shared activities and products at this stage.

Finding 5: The Centres have a strong track record of including gender in their programmes and policies, both thematically and operationally. (EQ1.5)

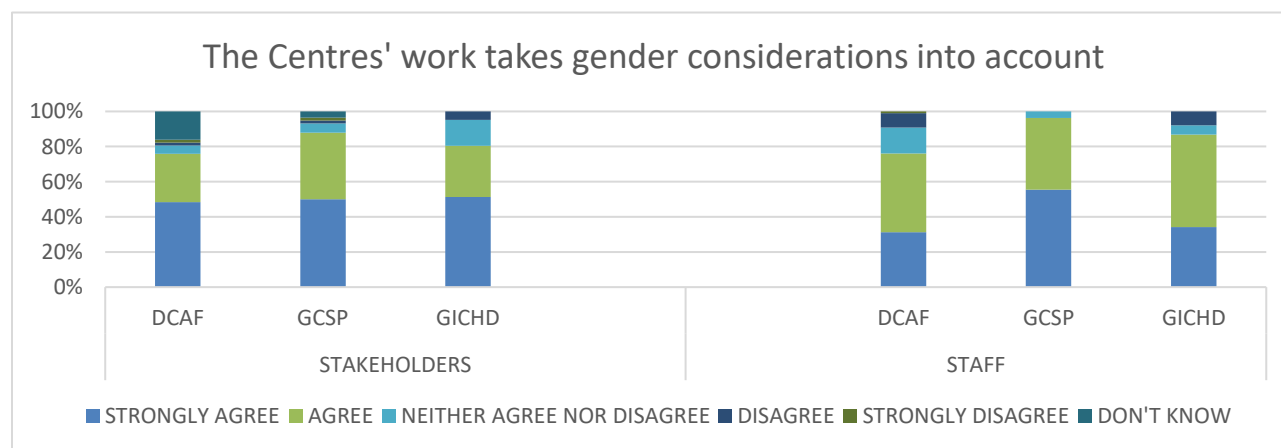
33. The Centres have a good reputation when it comes to incorporating gender considerations into their work and their practices. GICHD in particular has a strong internal policy and implementation roadmap on gender and diversity issues, while DCAF has its own division focused on gender and security activities and programming. On its side, GCSP is on-track to meet the Goals set by the Gender and Inclusive Security Cluster and the Director has promoted the Centre’s role in the MdP Gender and Diversity Hub. Table 3.2 below summarises their approaches and activities.

Table 3.2 *The integration of gender considerations in the Centres' policies, human resources and programming*

CENTRE	INTERNAL GENDER POLICY	GENDER PARITY IN HUMAN RESOURCES	GENDER PROGRAMMING
DCAF	Yes, Gender Equality Policy adopted in 2014	Gender balance in staff at operational level; Senior Management Team (5 members) is 60% male and 40% female; Directing Board (27 members) is 60% male and 40% female	The Gender and Security Division is a stand-alone division undertaking gender-oriented activities, including training staff
GCSP	Yes	Gender balance in staff at operational level. 40% of Senior Management Team is female; Deputy Heads of programme and course directors of three long courses are women. 29% of participants in Global Fellows Initiative are female	Gender and Inclusive Security Cluster created in 2017, plans to mainstream gender in GCSP courses, the Centre has also committed to a Gender Panel Parity Pledge
GICHD	Yes, includes an action plan, plus monitoring and reporting on its implementation	Gender balance in staff at operational level. At the management level, one out of seven members are female	Gender Mine Action Programme, although this is currently a separate entity from GICHD

34. The results of both the internal staff surveys and the external stakeholder surveys support the perception that the Centres have a strong track record on gender issues. More than 70% either agreed or strongly agreed that the Centres took gender considerations into account, as shown in Figure 3.2.

Figure 3.2 *Internal and external perceptions of the integration of gender considerations in each of Centres' work*



3.2 Effectiveness

Finding 6: The Centres are at different stages of developing and consolidating their management processes and strategies. (EQ2.1, 2.3.2)

35. Comparing the Centres' management processes is difficult because they are all at different stages in their development.

36. GICHD has generally good management processes. Staff report a positive working environment and a perception that the current organisational structure has rationalised the division between strategic management and operations. GICHD has a clear strategic direction, thanks to the development of strategic plans (2012-2014 and 2015-2018) and the integration of an RBM system. Several mechanisms and processes are in place to share information internally but there are some concerns that internal communications could be strengthened. Data collection reported that more could be done to share information across the organisation and to clarify decision-making processes and the delegation of authority.

37. GCSP has undergone a major process in management reform and strategic re-orientation over the evaluation period, with the appointment of a new Director in 2013. The Centre developed an ambitious vision for 2020. Staff have clear ownership over the strategy, with 82% agreeing or strongly agreeing that the strategic direction of the Centre is clear. The vision has been revolutionary and has repositioned the Centre as a dynamic, client-driven training organisation. However, the strategic changes have the potential to neglect traditional clients and the original mandate of the Centre. The Centre shows only a modest capacity to systematically analyse its competitive environment. Stakeholders identified an urgent need to improve the monitoring and analysis of the competitive environment in a more systematic way.

38. Management at GCSP has been reformed and new departments have been created to support the new strategic vision and improve effectiveness. This includes the creation of a new Global Support Group to coordinate all administrative and logistical tasks related to events and courses, as well as the Resources Mobilisation and Marketing team. Those involved in developing and delivering courses have been given the independence to be entrepreneurial, setting their own fundraising objectives and strategies and identifying the needs and trends in their areas of expertise. Management processes are perceived to be clear, with general satisfaction on internal policies and guidelines. There is a high level of satisfaction with this current structure and staff are proud of the work they do at GCSP. In the wake of the Centre's rapid growth, GCSP staff believed that they Centre should work now to consolidate the gains made and not overstretch the capacity of staff to deliver high quality services. The key message was to do less and do it better.

39. It is particularly difficult to evaluate the effectiveness of DCAF's management structures and processes because it is in the early stages of a major change management process. Up until 2016, the Centre's structure was highly centralised, with the Director taking on a large amount of personal responsibility. This was successful in establishing the Centre and supporting the development of quite independent, entrepreneurial divisions. It was not an adequate structure for the long-term sustainability of the Centre. There were few internal policies and standards vis-à-vis managing staff and their professional development, and there was no organisation-wide approach to monitoring, fundraising, reporting and decision-making. The process of identifying DCAF strategies was not transparent, led personally by the former Director and siloed between divisions.

40. The process that began in January 2017 is an ambitious approach to standardising and professionalising the management processes of DCAF. So far, the process has established task teams to strengthen internal policies in areas like finance, human resources and external cooperation, with a timeline running until January 2019. It has also made important changes to the way it establishes its strategy and is beginning a process of consolidating a more unified strategic direction. The new process is a more consultative internal process to develop an organisation-wide strategy amongst the Heads of Divisions. The new strategy process is aimed at helping guide the annual work plan process and the RBM process across the organisation. It is too early to assess the effectiveness of the process and the ongoing process requires time and patience to bear fruit. Nevertheless, this inclusive, consultative and transparent process is an improvement on the prior closed process and the change management process has been a necessary step in professionalising the Centre.

Finding 7: The Centres demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP. There are some additional areas where service contracts could be negotiated together but their utility depends on deeper investigation. (EQ2.1.5)

41. The Geneva Centres have long collaborated with one another on both programmatic and administrative activities. The Centres have had shared ICT infrastructure since 2004, including a time when they were serviced on ICT, human resources, facilities and reception services by a joint Service Centre staffed by personnel from all three Centres, before the move to the MdP in 2014. This Service Centre was closed in 2015 and the Centres now pick and choose which shared services they participate in, mostly in ICT.

42. Shared services for the 400 users across the three Centres are directed by a seven-person ICT team housed in GCSP and supported financially by Swiss core contributions set aside specifically for promoting synergies between the Centres. ICT collaborations are overseen by an IT Steering Group composed of two representatives from each Centre, chaired by the ICT Manager. The Steering Group met every 3 months in 2016 and on an ad hoc basis in 2017. It decides on joint policies and is the main unit used for consultations to analyse ICT needs and develop calls for tender.

43. The services that can be supported by the ICT Department are detailed in a joint Service Catalogue. Not all services are shared across all three Centres. While all use the same operating systems, internet, email, communications and security services and hardware infrastructure, they differ on salary management, corporate social networks and photocopiers. For the most part, the service sharing works well, although the evaluation team heard of difficult cases where the Centres could not reach agreement on certain shared applications (such as joint accounting and human resources applications).

44. It was unclear whether the Centres appreciate the added value of increasing these types of administrative synergies. Consultations suggested that they are concerned about merging too closely with the other Centres and are fearful of losing their identity and brand. The identity of each of the Centres can be preserved through their own communications, websites and branding, while sharing administrative and ICT services. A merger of the Centres should not be on the table. The Centres should not feel threatened by questions of administrative synergies. Such decisions should be driven by pragmatic questions of need and price. Interviews suggested that the Centres could in theory have joint contracts for hotels, travel agents, stationary suppliers, insurance, photocopiers, SwissSalary, postal services and archiving but emphasised that these were only potential leads that needed to be investigated first.

45. Volume 6, Appendix XI provides details on the current services that are shared and to what extent.

Finding 8: Though the implementation of Results-Based Management has progressed significantly, further consolidation is required. (EQ2.2, 4.2.2)

46. The Centres have placed a great deal of effort into developing systems to monitor the results of their work and they are currently at different stages of implementing, adjusting and consolidating their experiences. All three Centres have monitoring systems based on the principles of Results-Based Management. The evaluation team recognises the challenge of monitoring the Centres' results, which are not always tangible or measurable in the short- or medium-term.

47. GICHD has the most developed system. The process of integrating the new system has been challenging but is beginning to be a more positive experience after a stock-taking exercise led to a simplification of the tools and requirements on staff in 2016. The earlier version of the system was seen to impose a heavy technical and administrative burden on staff. It is too early to assess the success of the new system, but staff is generally positive about the new monitoring instruments that had been developed.

48. The development of DCAF's RBM system in 2014 - 2015 was led by an internal Working Group with the support of external experts from SDC. The Working Group developed the tools to put the system into practice and supported the implementation of a two-year piloting process (2015 – 2016). The system became fully operational in 2017, integrating into a corporate-level RBM process to support accountability, strategic steering and the incorporation of lessons learned. It culminated in the development of DCAF's first ever annual Performance Report 2016, which was approved by the Foundation Council in May 2017 and was very positively received by DCAF's key donors. Staff acknowledge that the system has potential, although a minority (17% in the internal survey) critique the system for being too complex and administratively heavy. There continues to be discrepancies between Divisions on how well the system is used and applied.

49. Measuring the impact of training and events is challenging. GCSP has developed the tools of a monitoring system but there is not any evidence of an integrated RBM system. The tools that do exist are not being used to provide a clear view of outcomes across the organisation. The monitoring of courses is done on a systematic basis but there is only ad hoc analysis of participants' comments and there is no evidence of standardised reporting or systematic follow up. GCSP's courses are certified by EduQua – a Swiss standard for adult continuing education institutions and an indicator of the quality of the services.

50. The evaluation team heard concerns at all three Centres that the monitoring systems should support operations rather than being an administrative burden. RBM processes need to be fit for purpose within the capacity, goals and needs of the Centres and should not overtake the daily work of operational staff.

Finding 9: The governance structures of the Centres are not altogether adequate for the effective implementation of their respective strategies. GICHD has the strongest governance oversight, thanks to the engagement of the Foundation Council and the existence of its Advisory Board. (EQ 2.3 and 2.4)

51. Governance structures that are working sufficiently should provide strategic and fiduciary oversight, as well as supporting resource mobilisation and programme objectives. The evaluation found

that the Foundation Councils in general do not have an adequate level of engagement with the strategic direction of the Centres, as well as a low level of support for resource mobilisation and programmatic support like policy and political advocacy. GICHD's governance was found to be the strongest by far, in part thanks to the existence of GICHD's Advisory Board, which goes some way in plugging the gaps in strategic oversight and programme support. Even with the Advisory Board, however, the Foundation Council of the GICHD is more engaged with the strategic direction and fundraising of the Centre, providing a quarter of overall funding in 2016 (excluding Switzerland). More details are provided in Table 3.3.

Table 3.3 *Overview of governance capacities of the Centres*

GOVERNANCE ROLE	DCAF	GCSP	GICHD
Strategic	62-member states but little evidence that Foundation Council or Bureau provides strategic direction An International Advisory Board made up of 51 experts with close personal connections to the former Director has been put on hold to re-evaluate its main purpose and value	There is little evidence that the 52-member Foundation Council or Bureau provides strategic direction; all strategic decisions are made at Director level and are then confirmed by the Bureau and the wider Council. The council members lack the expertise that could strengthen GCSP's strategic direction in areas vital to the development of the Centre, such as executive education, academia, marketing, business development, fundraising or communications. There are no statutory term limits. The Foundation Council President will have held office for 20 years when he steps down in 2018	The Foundation Council has 25 members from donor and recipient countries. The Council is engaged in strategic and programme support for the Centre, providing constructive dialogue about strategy, policies and processes. The Council delegates most of its work to the Bureau. The Advisory Board provides advice to both the Foundation Council and Centre management, providing constructive feedback on GICHD strategies and annual work plans
Fiduciary	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention	The Council approves the annual budget and the audited financial statements. Members of the Bureau and Foundation Council report that they lack the skills and the time to undertake this responsibility with due attention
Supportive	Little evidence that the Foundation Council or Bureau supports policy dialogue, political advocacy or fundraising	With 52-member states, the global outreach of the Foundation Council is significant. However, the support of members is modest	The Advisory Board is composed of experts from national and international mine action settings and ensure effective support to management and Foundation

GOVERNANCE ROLE	DCAF	GCSP	GICHD
			Council members
	Efforts have been made to change the format of the Foundation Council meetings, which have increased awareness of the Centre's services Foundation Council members other than Switzerland provide 27% of funding to the Centre (2016). With Switzerland, this number reaches 87%	Foundation Council members other than Switzerland provide just 1% of GCSP funding (2016). Seven-member states provide scholarships for course participants, while six countries consistently second staff	Nine Foundation Council members other than Switzerland provide 26% funding to the Centre (2016)

52. The Foundation Councils are a symbolic part of being a Foundation under Swiss law and thus cannot be completely reformed without the agreement of the Founding Members. Nevertheless, the Foundation Councils need to function. This is not to say that they all must look the same. Each Centre should decide on how their Foundation Council will look, so long as it fulfils its role as a governance mechanism. For instance, while the wider Council may not provide an environment for the level of engagement required of a governance body, the Bureau could have increased participation to strengthen strategic and financial oversight, as well as programmatic support. Alternatively, active members of the Foundation Council could create a committee to do this work. Finally, the experience of GICHD suggests that an active Advisory Board is an asset to the Centre. Whichever model, the active governance body should not be involved in the day to day management of the Centre and should focus on the three high-level roles outlined above.

53. Finally, there is currently a push from within DCAF to revise the Foundation's statutes and the evaluation found that GCSP's transformation merits reviewing the statute to ensure that it reflects the Centre's orientation towards Executive Education. The evaluation team understands that this is the responsibility of the Council of Foundation and that the Swiss Confederation has no formal role to play beyond instructing Swiss Council members on how to vote. Changes to the scope and purpose of the Centre requires the unanimous assent of the initial founders of the Centre. The Foundation Councils and the initial founders, as well as the Swiss Confederation, should work with the Centres to ensure that the provisions of their statutes clarify their strategic orientations and align with the realities of the Centres' activities.

Finding 10: The Centres have globally achieved their objectives. (EQ 2.5)

54. Overall, the Centres are doing well to achieve their expected outcomes. Their differing mandates and objectives make it difficult to meaningfully compare them against each other because they each have their own approaches and challenges.

55. GICHD has a clear monitoring and reporting framework that makes evaluating its progress towards defined outcomes relatively clear. Out of its nine strategy outcomes, seven are on track to be achieved by the end of its 2018 strategic plan. The Centre has supported the development of mine action strategies in target countries and has contributed to an increase in assessment scores for national mine action strategies in countries like Afghanistan and Sri Lanka. There is also a greater clarity on the extent and impact of explosive hazards, improved standards, methods and tools in mine action. National

Strategies to deal with residual contamination in target countries (such as Sri Lanka, Bosnia and Herzegovina, Cambodia and Zimbabwe) are approved or pending approval. Finally, GICHD has supported the integration of mine action into the human security agenda, collaborating with 19 human security actors in its most recent strategic period.

56. GCSP has a wide variety of outputs but the monitoring and reporting of outcomes is less clear. The Centres' work is split into three streams: Executive education (70%), dialogue (20%) and policy analysis (10%). In the field of executive education, the Centre has substantially increased the number of courses it delivers, with a focus on developing fee-paying courses on new and diverse topics. Satisfaction with courses has remained positive. The Centre's alumni network has expanded, with increased engagement with the Centre beyond the provision of courses thanks to the development of a new online Alumni Portal and of regional promotional material for regional alumni Hubs. The rapid development of the GFI has been impressive: in 2017, 36 fellows ran 105 course modules. The GFI has incubated seven projects, including innovative programmes considering Media and Arts for Peace, Leadership courses for African Leaders and a project providing people travelling and working in hostile or volatile environments with geo-localised and mapped security information in real time (called Securaxis). The outcomes for dialogue and policy analysis activities are unclear, with only outputs monitored.

57. DCAF's work is split into three streams: a) contributing to international policy development; b) supporting national partners; and c) supporting international partners, through bilateral donor assistance, or in the framework of cooperation with global or regional multilateral organisations. Overall, DCAF's first Performance Report (2016) shows that there has been important progress in monitoring results and achieving outcomes in providing legal and policy advice, and in building capacities at the institutional, society and individual level. DCAF has also increased its collaboration with UN and the international financial institutions, such as the World Bank and the Inter-American Development Bank since 2014, and formalising a cooperation agreement with the UN Department of Peacekeeping Operations in November 2016, supporting significant mandates related to: Guidance (UN technical guidance, drafting of key documents, field research, etc.); Policy Research (on the integration of ex-combatants into security institutions, the UN approach to defence sector reform); and field support. DCAF's outcomes on the ground develop gradually and the Centre is contributing to important reforms in key countries in which it works. In Mali, DCAF has deployed a flexible approach to capacity building and ensuring national ownership of tailored SSR solutions; in Lebanon, the Centre has supported projects in the Justice system, such as a parliamentary support programme, supporting the implementation of new laws and assuring responsibility for prison management. DCAF's work in Tunisia has strengthened the authorities' effectiveness and transparency.

58. In Ukraine, the partnership between DCAF, GICHD and OSCE is reported to have contributed decisively to raising awareness about the mine contamination problem in the country with ministries, parliament and civil society. The Centres are recognised by stakeholders to be knowledgeable and trustworthy partners in country.

3.3 Efficiency

59. Efficiency is the extent to which a programme has converted its resources (funds, expertise, time) economically to achieve the maximum possible outputs and outcomes with the minimum possible

inputs.¹ It is not possible to put a value on the outputs and outcomes achieved by the Centres' activities to build capacity, disseminate knowledge and provide technical assistance, as they are not readily quantifiable in monetary terms. Therefore, this section focuses on assessing aspects of the programme's cost-effectiveness, treating the outcomes as given and asking whether these could have been produced at lower cost.

Finding 11: The Centres are making clear efforts to diversify their financial sources and have met or surpassed their targets based on sources beyond the core funding from the FDFA. (EQ 3.1)

60. Swiss core funding is a significant asset for the Centres. It provides them with security, supports medium to long term planning and provides a comfortable cushion for developing into new areas, being flexible to developing needs and to try innovations. All three Centres have worked hard to diversify their financial sources (see Table 3.4), in line with the requirements set out in the Federal Dispatch. However, the Dispatch contains a slight ambiguity, in that it does not make clear whether objectives for third party funding count all funding from Switzerland, including core and project funding, or if it is only applicable to the core funding from the FDFA. In general, the Centres interpret the objective as regulating the volume of Swiss core funding, as opposed to all Swiss sources. The table below considers shows the sources of funding for each of the Centres for 2016.

Table 3.4 Diversification of funding sources for the Centres (as of 2016 audited financial reports)

FUNDING SOURCES 2016	DCAF	GCSP	GICHD
Minimum threshold set by Swiss Federal Dispatch for third party funding	45%	15%	25%
Swiss Core funding from FDFA	47%	80%	61%
Swiss project funding	13%	7%	4%
Other member states and institutions funding	34%	10%	26%
Other income	6%	3%	9%
Total % of non-core funding	53%	20%	39%

61. In terms of diversifying their funding beyond the core support provided by Switzerland, all of the Centres have surpassed the threshold set for them in the Federal dispatch. It is important to note that new funding sources for the Centres are generally only providing project funding, which is difficult to sustain and does not ensure the long-term viability of the Centres. The core support of Switzerland remains crucial for the Centres, but it would be desirable in future Federal Dispatches to clarify the issue of whether the objectives for funding from third parties applies to only Core Swiss support or to all core and project funding from Switzerland.

62. All the Centres' financial management and control procedures are in conformity with national and international standards, according to successive audits over the evaluation period. Staff is generally

¹ OECD/DAC. 2010. *Glossary of key terms in evaluation and Results Based Management*. Paris: Development Assistance Committee.

satisfied with the use of financial resources across the Centres, agreeing that their outputs were being achieved on time and that they could not have been achieved with less resources.

63. GCSP has made noteworthy efficiencies during the evaluation period, reducing the cost of running courses while almost doubling the number of courses that it delivers. The creation of a Global Support Group in 2016, bringing together the administrative, logistical and support activities for running courses and events into an organisational hub have helped to improve administrative efficiency and reducing running costs. However, the increase in courses has not yet resulted in increased revenues: the development of fee-paying courses led to modest profits in 2015 and 2017 but made losses in 2014 and 2016. It is still early to conclude on the efficiency of this model.

Finding 12: The core operating needs of all three Centres are strained and would benefit from investment (EQ3.2 and 3.3)

64. However, the Centres are outgrowing their current capacities. This is particularly true in the case of the Human Resources and Finance units in DCAF, which are under strain to support the change management process over the next few years while also delivering on their day-to-day administrative tasks. At GCSP, the efficiencies made in reducing personnel costs, combined with the intensification of activities has left departments overstretched; staff reported that a lack of human resources is a key limiting factor in the effective delivery of their services and the SWOT workshops and interviewed identified a concern that GCSP may not be able to continue to deliver the same quality of services in the future if additional investment in personnel is not made. GICHD currently funds positions on RBM and coordinating IMAS at fifty percent, which the evaluation team finds to be insufficient for such important, wide-ranging roles.

3.4 Sustainability

Finding 13: DCAF and GICHD's focus on working with national authorities and partners supports sustainability. GCSP faces challenges when measuring sustainability. (EQ4.1)

65. GICHD concentrates on establishing national standards, policies and strategies, as well as its emphasis on working with local partners do lend themselves to creating long-term change. Strong partnerships and the hosting of the Secretariat of the International Mine Action Standards (IMAS), the Implementation Support Units for the Anti-personnel Mine Ban Convention (APMBC) and the Convention on Cluster Munitions (CCM) position GICHD at the heart of national and international policy debates to develop international standards. In Lebanon, GICHD works through a formal partner, the Lebanon Mine Action Centre (LMAC), which coordinates the management of the Arabic Regional Cooperation Programme. However, the Centre experiences some difficulty in measuring and ensuring the sustainability of their work due to the lack of in-country presence or a remote monitoring system.

66. DCAF also invests in partnering with local actors. DCAF is the only Centre with permanent field presence to sustain long-term operations. In Tunisia, DCAF works closely with public institutions and national authorities to support local initiatives in the field of governance, justice and human rights. The Centre accompanies reform projects initiated by the Tunisian Government and local civil society organisations. In Mali, DCAF does not have a permanent field presence but sends its own experts "in and out" of the country to coordinate monitoring, evaluation, preparation and programme strategies. A

national expert stays on the ground to develop training and engage in policy dialogue. The Centre works with and convenes a diverse range of stakeholders, from national authorities to civil society and parliament to create a sense of national ownership of solutions to SSR challenges in the country. DCAF is praised for the way in which it listens to the needs of its interlocutors and how it tailors its own technical expertise to develop capacity-building activities adjusted to context-specific needs. National ownership and local capacity building are key to ensuring sustainability and long-lasting change.

67. In Ukraine, both DCAF and GICHD work in partnership with the OSCE to keep mine action and SSR on the agenda as the Government of Ukraine confronts the internal conflict. The development of anti-mine legislation, as well as training and strategic planning supported by the Centres have equipped local partners with capacities and knowledge that will support them in the medium term. The Centres have focused on national ownership over policy solutions – such as the development of Ukrainian institutions – that will increase the sustainability of the work going forward.

68. GCSP collects testimonies and comments from its Alumni network that demonstrate the value of its work for participants, their knowledge and their careers. However, the data is insufficient to provide evidence of long term, sustainable outcomes. Addressing sustainability in the field of education is complex and defining sustainable benefits in the areas of security policy and peacebuilding is difficult. The Centre needs specific professional tools for the evaluation of adults' learning and development, which measure the changes in the participants' approaches and practices in the medium and long term as well as the sustainability of these changes. The evaluation of the sustainability of activities in terms of policy analysis and dialogue is also difficult to establish, in the absence of qualitative strategic orientations in these two areas as well as lack of analytical synthesis of their results.

Finding 14: The Centres are planning for the future and there are numerous options going forward. DCAF is consolidating its current change process, GICHD is considering regionalisation and GCSP is at an opportune time to review the progress made under its new business model. (EQ 4.2)

69. The Centres are thinking seriously about the future. All are making substantial efforts to diversify the sources of their funding, although securing core rather than project funding is challenging.

70. The evaluation team heard from GICHD's stakeholders that there is a strong push for a regionalisation of the Centres' work, taking the Centres' experts closer to partners and constituents. Proposals to deploy "regional teams" (one policy expert, one technical expert) to be closer to where the clients are and more easily deployable have been raised for consideration. The lack of field presence makes some staff feel that they can be one step behind the advancements on the field, and lack of practical emerging experience and practise. Nevertheless, the Centre does have a regular presence in the field through the "in and out" approach and the on-going exchanges with field practitioners do provide opportunities to identify developments in mine action in the field.

71. GCSP has an ambitious vision for its work up until 2020. It has undergone rapid changes in its business model and has transformed the way it approaches its work, becoming more agile and entrepreneurial, while retaining the same level of human and financial resources. The data shows persistent concerns that the organisation is facing threats to its effectiveness in terms of protecting the quality of its work and balancing its traditional clients with efforts to grow new ones. It is normal that radical reforms are met with some critique. The evaluation team heard that staff believed it would be prudent at this stage for the Centre to review the gains made under its new strategy and assess what adaptations would be necessary to ensure its sustainability, including working with Switzerland to

ensure that the Centre's statute reflects its new focus on Executive Education for a wider audience than was originally envisaged.

72. DCAF is in the midst of a wide-ranging change management process that aims to consolidate capacities, processes and tools across its divisions and create a less siloed organisation. It has also formalised strategic planning, RBM and human resources processes at a corporate level to support the Centre meet the needs of its major stakeholders and be a more effective and efficient organisation in the future. During the evaluation, staff were hopeful about the potential of the organisation going forward.

4 Conclusions

73. Overall, the findings for the Centres are positive. Highly regarded by their donors, partners and peers, the Centres are seen as leaders in their respective fields. Staff of the Centres are generally proud of their work and of their organisations. The Centres are three very different entities at diverging stages of institutional development. Comparing them meaningfully has its limits.

74. The Centres support Swiss strategic objectives and the mandates for which they were established. There is already a review process for the DCAF statutes underway. Following the transformation of approach, GCSP would benefit from a renewal of their statutes and a clarification on what Switzerland wants to achieve through their support for the Centre. The Centres have all made notable efforts to diversify their sources of funding, but this could be further improved by a more strategic understanding of what donors want and what they are interested in funding. The Centres need Swiss core support to flourish. The governance of the Centres could be strengthened. The oversight provided by the Foundation Councils is modest in terms of strategic and fiduciary accountability and programme support is varied across the Centres. GICHD provides a good example of a smaller, more engaged Foundation Council with a valuable Advisory Board that offers support to the Council, Bureau and the management.

75. The move to the MdP has been positive for the Centres, establishing a prestigious hub of activity at the heart of International Geneva. The Centres are, or have plans to, raise their games in terms of external communications and branding, in an effort to distinguish themselves and raise their respective profiles. Collaboration between the Centres is succeeding on certain common programme issues and activities. However, meaningful cooperation needs to be initiated from the bottom-up. The Centres have very different mandates, objectives and ways of working. There is a limit to how much they can be expected to have impactful joint projects that are more than the sum of their parts. Efficiencies made in administrative cooperation in terms of the ICT are good but there are issues with internal competition. The Centres can retain their respective identities and still have joint services. There is potential to investigate further joint efficiencies if this is desired.

76. The development of solid RBM processes is complex and time consuming but ultimately valuable when done correctly. GICHD and DCAF have taken a pragmatic approach to the exercise, taking time to review progress and simplify existing systems (GICHD) or undertaking pilots before transitioning to a corporate-level system (DCAF). GCSP would benefit from a better developed system, with some monitoring tools in place but no comprehensive system to consolidate the Centres' results across its three work streams. All of the Centres report strong results, although the nature of their work favours monitoring on a longer-term basis. The nature of the working models of GICHD and DCAF, with a focus on working with national authorities and partners, also supports the achievement of sustainable outcomes. GCSP's emphasis on education and training should also contribute to lasting change but there is little monitoring evidence to assure this.

77. The Centres are all forward looking and have great potential for the next phase of their development. DCAF is implementing its transformational change management process with the aim of developing “one DCAF” out of its historically separated divisions. GICHD is considering how to move forward in the next stage of its development, with the option of regionalisation as a potential future direction of the Centre and to develop its thematic scope into ammunition management and other related issues. GCSP has undergone a revolution in its internal approach and business model and should take stock of the progress it has made and how it intends to go forward. Overall, Swiss support – financial, in-kind and strategic – is crucial for the continuation of the Centres and their contribution to global security.

5 Recommendations

78. The following recommendations address a number of key stakeholders in this evaluation: The Swiss Confederation, including the FDFA and the DDPS; each of the Centres' Foundation Councils; and respective teams and departments in each of the Centres' management structures. Each of the recommendations relates to at least one finding presented in the report and the relevant finding is listed below the recommendation. The recommendations for each of the Centres are based on the detailed findings presented in Volumes 2, 3, 4, and 5 (Vignettes), which have been summarised in this report.

79. The recommendations are listed in terms of priority in each section prioritised in terms of whether they should be undertaken in the short-term (within the next year), medium-term (within the next two years) or long-term (within the next three to five years).

To the Swiss Confederation

80. All of the following recommendations are of interest for the Centres and their respective lead Departments: the FDFA and the DDPS.

Recommendation 1: As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.

Priority: Short-term

Finding: All findings presented in this report

81. The Swiss Confederation has made significant investments in the Geneva Centres over the past twenty years. As part of the parliamentary process in the lead up to the forthcoming dispatch, the Swiss Confederation should consider how it wants to take these investments forward by preparing a shared vision with the Centres for the next ten years and whether it wants to continue or increase its funding to the Centres. A strategic workshop with each Centre and Swiss Confederation representatives could consider questions such as "where are we at?", "what did we achieve?" "what should we be doing?" and "is this still what we want?". This workshop should also not shy away from considering the implications of further diversification of funding sources, emerging needs and trends, Swiss engagements vs other international contributions, etc. It should also take seriously the proposals of the Centres for amendments to their strategic orientations and aim to reflect the realities and best practices of the Centres' activities.

Recommendation 2: The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.

Priority: Short-term

Finding: 11

82. The evaluation found that there was a lack of clarity on whether or not the objectives set out in the Federal Dispatch covered both core and project funding from Switzerland, or only core funding from the Confederation. The core support of Switzerland remains crucial for the Centres, but it would be desirable in future Federal Dispatches to clarify the issue of whether the objectives for funding from

third parties applies to only Core Swiss support or to all core and project funding from Switzerland. The meaning of this objective should be made explicit and only cover core funding so as not to limit the Centres' engagement with the Swiss Confederation as an important stakeholder with an interest in funding specific Centre projects that support its national interests now and, in the future.

Recommendation 3: The Swiss Confederation should stop funding “forced synergies” and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

Priority: Short-term

Finding: 4

83. Cooperation on programme activities among the three Centres cannot be enforced in a top-down approach. The most fruitful collaboration between the Centres has developed from the bottom-up, between staff who have identified needs in one Centre and see evidence of potential solutions in the work of another Centre. Switzerland should be patient in allowing the Centres to try and test new activities together in a collaborative and innovative manner and should not place too much emphasis on quotas for shared activities.

To the Foundation Councils

Recommendation 1: Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve strategic coherence, information sharing and reach.

Priority: Short-term

Finding: 9

84. The evidence suggests that the Foundation Councils of GCSP and DCAF are not as engaged as they should be and therefore not providing a strong mechanism for accountability. The Centres have reported that they are making efforts to reinvigorate the engagement of Foundation Council members through new meeting formats and other measures. Foundation Council members should be aware and be prepared to fulfil a stronger governance role, supporting the strategic orientation, financial oversight and support programme activities and fundraising.

Recommendation 2: The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.

Priority: Short-term

Finding: 6, 8, 9, 11 and 14

85. The Centres are planning for the future and need to have the support of the Foundation Councils and the Councils' initial founders to do this properly. For instance, GICHD stakeholders reflected that in some countries, it would make sense to be partly decentralised in order to be more efficient and effective by reducing running costs and by closing the gap between GICHD staff and beneficiaries. The Centres are also moving forward on sharpening their respective brands and investigating whether they should widen their scope (e.g. GICHD), have radically changed their business model in a way that may require revising the Centre's statutes (GCSP), or undertaken an institution-wide change management process and initiated the revision of the Centre's statutes (DCAF). These internal reflections need the

support of the Swiss Confederation as they may require adjustments to the Centres' statutes, which will require the approval of the founding members of the Centres' respective Councils of Foundation.

Recommendation 3: The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

Priority: Medium-term

Finding: 2 and 14

86. The example of GICHD's Advisory Board suggests that access to independent expertise improves the quality of the oversight of the Centres' governance structures in terms of strategic and programmatic monitoring.

To DCAF

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities

Priority: Short-term

Finding: 9

87. In line with the example of GICHD, an active Advisory Board can support the Centre's strategic direction and programme priorities. The Board could include experts in the fields of SSG/SSR who can act as a sounding board on content-related issues and ideas. It could support; the development of strategies and priorities that speak to the needs of donors, partners, clients and other stakeholders; ensure that DCAF strengths, expertise and human resources capacities are taken into consideration in decision-making processes; provide a space for feedback loops and for testing strategic ideas. (See also recommendation 5).

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Priority: short-term/on-going

Finding: 6, 10, 13

88. The Director should speed up the process of recruitment of a new Head of Resources Department and ensure that this person has the appropriate resources and capacity to lead the department. In the immediate, short-term, the Head of Resources Department should work with the Director and the Human Resources Unit to ensure that Human Resources staff has adequate training to implement the new policy on Policy on the Protection of the Personal Integrity of Staff that provides grievance and redress mechanisms to address claims on discrimination and harassment. The Director and the Head of Resources Department should establish corrective action and due process for persons accused of committing harassment and work together with external experts on harassment when appropriate to ensure that all DCAF staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms. In the medium term the Head of Resources Department should to ensure that staff has adequate training to meet upcoming DCAF needs.

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Priority: Medium-term

Finding: 6

89. The Finance Unit also requires investment. This could include the recruitment of a Financial Controller who is not linked to the Divisions and the recruitment of a project accountant or controller who can support the Divisions. The department should also establish a policy on financial reserves as a foundation to help ensure that any core funding cuts do not lead to an organisational crisis.

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Priority: Medium-term

Finding: 1, 9, 11

90. The Centre should continue to develop its engagement with the Foundation Council and Bureau, including strategic consultations to move beyond one-way communication that opens avenues for fundraising opportunities and improves interaction on substantive activities. The Departments and Divisions can do more to support and share the analysis of donor needs to facilitate fundraising. This could be done within the potential new advisory board, or through an allocated focal point with the responsibility to collect and analyse data. The analysis could be integrated into the RBM system and should be designed to help with strategic fundraising processes and donor outreach. This should support DCAF to establish more proactive analysis of donor needs, strategies and trends and move away from simply a reactive approach.

To GCSP

Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre

Priority: Short-term

Finding: 9

91. GCSP needs to have oversight mechanisms that have the skills to be able to actively contribute to the Centre's strategy direction, outreach and fundraising. GCSP needs expertise in sectors that are vital to supporting its corporate development, including knowledge of executive education, business development, marketing and fundraising and financial oversight. These skills could be brought in through the creation of an advisory board, similar to that of GICHD.

Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Priority: Short-term

Finding: 1, 2, 6, 8, 11, 12, 14

92. The SMT should anchor its review in (1) the analysis of the current competitive environment, trends in executive education, the evolution of needs among its traditional audiences (government officials, diplomats and militaries), and the profiles and needs of new audiences; (2) the complementarity with similar services and offerings in Geneva; (3) trends in funding and lessons learned from the past four years; (4) staff needs with regards to guaranteeing and protecting service quality and ensuring human resources capacity. The review should take place by the end of 2018 to allow the Centre to take stock of its achievements, consolidate gains made and adjust to the competitive environment.

Recommendation 3: The SMT should consolidate the implementation of a Results-Based Management process.

Priority: Medium-term

Finding: 8, 13

93. The Senior Management Team should invest in equipping the Centre with adequate tools to monitor and evaluate adult learning and development and measure behavioural change in customer's approaches and practices in security and peacebuilding issues. The tools should have the capacity to measure the sustainability of these changes over periods of one to two years.

Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

Priority: Long-term

Finding: 1, 2, 6, 8, 11, 12, 14

94. Given the shift in the Centre's focus and its new approach to its work, GCSP's statutes may require revision. This should be done in close coordination with the Swiss Confederation, the founding member of the Centre and without which the Centre is not yet viable. The strategic goals of the Confederation should be explicitly expressed. The Centre and the Swiss Confederation need to come to a shared understanding of the Centre's long-term mission, objectives and activities, and adjust the statutes to reflect this. (See also recommendation 2).

To GICHD

Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to effectively support and continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.

Priority: Short-term

Finding: 8

95. There have clearly been partial insufficiencies - or underestimation - in the level of effort that is required at both levels of the management of the IMAS Secretariat as well as with the RBM position. Development, revision or updating of new Standards, as well as complete and progressive integration of

RBM policy and programme principles within GICHD require an ongoing expertise that can hardly be opposed or shared with other important responsibilities. Therefore, there is a need to ensure that continuous investment is maintained and pursued in these two crucial fields of expertise to the GICHD.

Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.

Priority: Medium-term

Finding 5

96. The Gender Mine Action Programme (GMAP) has effectively supported Gender mainstreaming into GICHD's programme and initiatives, although it received its own core funding to continue its existence. Most of the consulted internal and international stakeholders do not understand the rationale of keeping the GMAP as a separately funded entity and believe that its integration is in line with the expanding role of Gender issues within the Mine action (and more broadly Security) field.

Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of pilot decentralised regional teams (technical/policy/standards).

Priority: Long-term

Finding 1, 14

97. Different GICHD and external stakeholders have been advocating strongly for a "regionalisation" of GICHD's work, inviting expert, policy-makers, norms specialists and capacity-building specialists to be closer to their partners and constituents. GICHD favours an "in and out" approach, which has its advantages (independence, impartiality, strategic oversight/counselling), but which is also not always satisfying continuous ongoing needs of growing partners. Different pilot approaches could be initiated to experiment the added value of this pragmatic and needs-based recommendation.

Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

Priority: Long-term

Finding: 11 and 15

98. GICHD has successfully developed fruitful and constructive partnerships in the field of Ammunition Management, including on the promotion and implementation of the International Technical Guidelines on Ammunition Management. GICHD senior management, with Bureau and Foundation Council support, should envisage strengthening substantially its capacities to respond to increasing needs and requests on this issue.

Appendix I List of findings

- Finding 1: The Centres succeed in staying abreast of and analysing the latest thematic trends and developments in their areas of expertise. However, the analysis of donor trends and strategic needs has not been carried out in a systematic manner. (EQ1.1)
- Finding 2: There is thematic alignment between the Centres' strategies and Swiss international policy objectives. (EQ1.2)
- Finding 3: The Centres are perceived as important and leading institutions within their areas of expertise. (EQ1.3)
- Finding 4: The move to the Maison de la Paix has encouraged the Centres to raise their profiles both individually and collectively. Current joint initiatives would benefit from more visibility internally and externally. (EQ1.4)
- Finding 5: The Centres have a strong track record of including gender in their programmes and policies, both thematically and operationally. (EQ1.5)
- Finding 6: The Centres are at different stages of developing and consolidating their management processes and strategies. (EQ2.1, 2.3.2)
- Finding 7: The Centres demonstrate a strong degree of collaboration on administrative activities through the joint ICT department housed in GCSP. There are some additional areas where service contracts could be negotiated together but their utility depends on deeper investigation. (EQ2.1.5)
- Finding 8: Though the implementation of Results-Based Management has progressed significantly, further consolidation is required. (EQ2.2, 4.2.2)
- Finding 9: The governance structures of the Centres are not altogether adequate for the effective implementation of their respective strategies. GICHD has the strongest governance oversight, thanks to the engagement of the Foundation Council and the existence of its Advisory Board. (EQ 2.3 and 2.4)
- Finding 10: The Centres have globally achieved their objectives. (EQ 2.5)
- Finding 11: The Centres are making clear efforts to diversify their financial sources and have met or surpassed their targets based on sources beyond the core funding from the FDFA. (EQ 3.1)
- Finding 12: The core operating needs of all three Centres are strained and would benefit from investment (EQ3.2 and 3.3)
- Finding 13: DCAF and GICHD's focus on working with national authorities and partners supports sustainability. GCSP faces challenges when measuring sustainability. (EQ4.1)
- Finding 14: The Centres are planning for the future and there are numerous options going forward. DCAF is consolidating its current change process, GICHD is considering regionalisation and GCSP is at an opportune time to review the progress made under its new business model. (EQ 4.2)

Appendix II List of Recommendations

The Swiss Confederation

- Recommendation 1: As part of the parliamentary process in the lead up to the forthcoming Dispatch, the Swiss Confederation should take stock of the results of its contributions so far and prepare a vision for the next ten years.
- Recommendation 2: The FDFA should make it explicit that only Swiss Core funding is counted in its objectives for the Centres' diversification of resources.
- Recommendation 3: The Swiss Confederation should stop funding "forced synergies" and let bottom-up, progressive, pragmatic, needs-based, genuine initiatives grow among the Centres.

The Foundation Councils

- Recommendation 1: Foundation Council members should be more invested in the Centres' work to fulfil their governance role. Members should actively look for opportunities to support fundraising, as well as improve strategic coherence, information sharing and reach.
- Recommendation 2: The Foundation Councils and their founding members should support the internal reflections of the Centres to develop their separate brands, missions, scope and functions.
- Recommendation 3: The Foundation Councils of DCAF and GCSP should support the respective Directors to establish Advisory Boards where appropriate.

DCAF

- Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Bureau of the Foundation Council to help guide DCAF strategies and priorities
- Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department
- Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department
- Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

GCSP

- Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre
- Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.
- Recommendation 3: The SMT should consolidate the implementation of a Results-Based Management process.
- Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

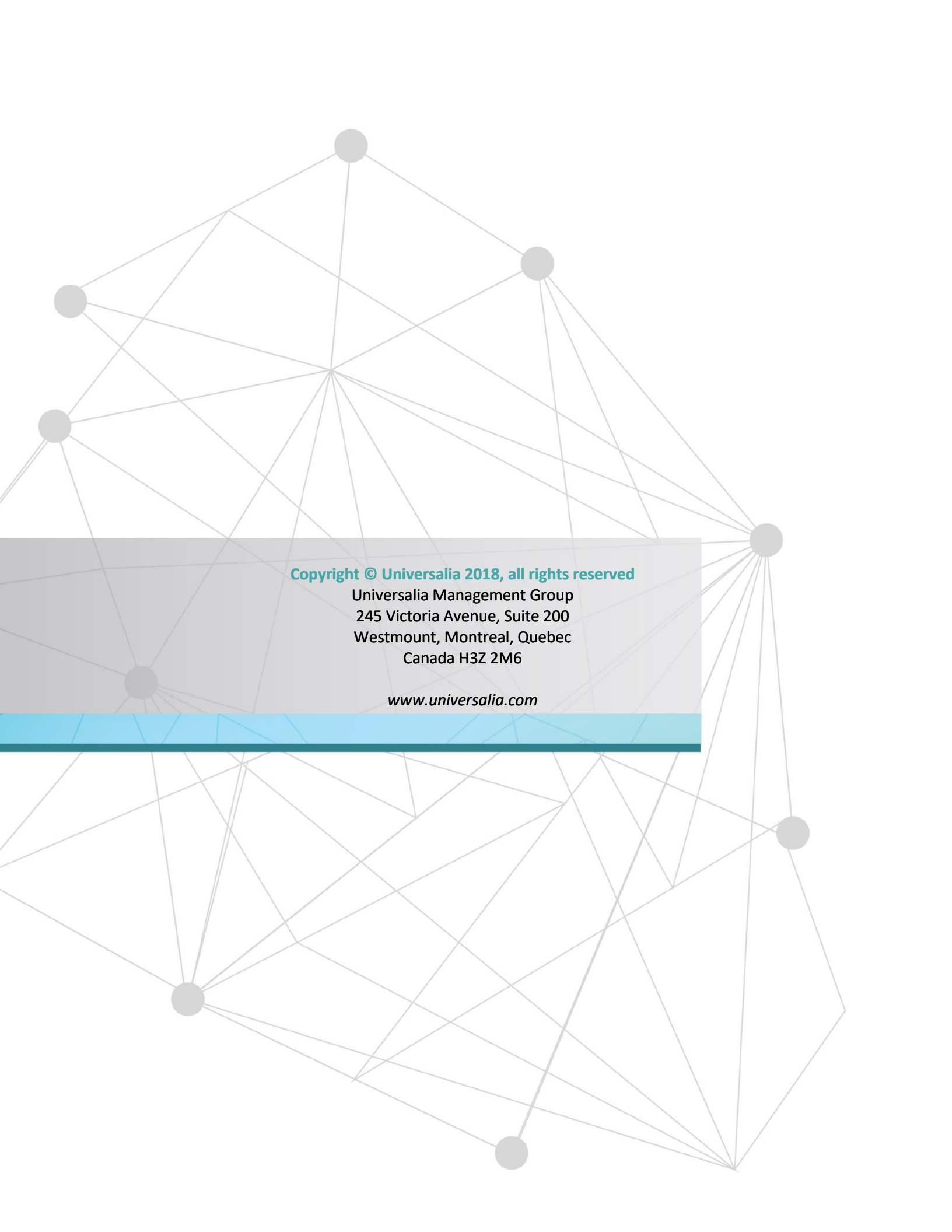
GICHD

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- Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.
- Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of pilot decentralised regional teams (technical/policy/standards).
- Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

External evaluation of the Geneva Centres

Volume 2: Geneva Centre for the Democratic Control of
the Armed Forces (DCAF)

FINAL REPORT | MAY 2018



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Executive Summary

This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between 01-07.2014 and 30.06.2017 and supporting learning and the corporate development of the Centres. This volume focuses solely on the findings for DCAF. For details on the methodology used for the evaluation, or the evaluation's findings on the other Centres, please see Volumes 1, 3, 4, 5 and 6.

DCAF and operating context

DCAF is working in a global political context where issues related to fragility, security sector governance (SSG) and security sector reform (SSR) continue to be a high priority, particularly in the context of achieving the Sustainable Development Goals (SDGs). DCAF is dedicated to SDGs 5 on Gender Equality, 11 on Urban Safety and 16 on Peace, Justice and Strong Institutions. There is a growing proliferation of SSG/SSR needs in the fragile and conflict-affected contexts within which DCAF works. It is challenging for DCAF to operate safely in these contexts, based on the expertise, human, financial and field resources available, as well as its institutional restrictions as a foundation. Donor demands are often focused on short-term solutions and outputs, rather than outcomes, which often pose rapid deployment challenges as well reporting issues.

With 63 member states (including the Canton of Geneva) and 6 permanent observers, DCAF is the largest of the Geneva Centres based in the Maison de la Paix (MdP). DCAF is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders. Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for SSG and SSR.

DCAF was led by Ambassador Dr. Theodor Winkler from its inception in 2000 until June 2016, when the leadership went to Ambassador Thomas Guerber. The change of leadership and subsequent changes in governance, management and institutional structures is a very relevant issue and is taken into consideration. It takes into consideration the institution-wide change management process that was launched on the 1st of January 2017 to assess the organisation's capacities and limitations, to change the institutional structure and to invest in policies and processes that needed further development. The institutional structure of the organisation went through a complete reform in 2017 (Please see organigrams from 2014-2016 and from 1 January 2017 in Appendix III). This Evaluation of the three Geneva Centres analyses the organisation from 1 July 2014 – 30 June 2017 and thus covers these management transitions. This is perhaps the underlying challenge of the centre evaluation of

DCAF: it needs to take both the old issues and new reforms into account but that it remains too early to assess the implications of the change management process that have just started to be implemented. It will be the responsibility of the next evaluation of the three Centres (in 2022) to make a first assessment of the impacts and results of this reform process.

Findings regarding DCAF's relevance, effectiveness, efficiency and sustainability

The evaluation presents 16 Findings with regards to DCAF's relevance, effectiveness, efficiency and sustainability.

With regards to relevance, DCAF remains at the forefront of the SSG/SSR market and remains highly relevant in fragile and post-conflict contexts through its close relationships with different national actors, multinational companies, international organisations and donors. Areas of investment could include a more conflict sensitive approach to its activities and more coherence across divisions and projects. While DCAF is at the forefront of promoting gender and security abroad, there is further work to implement policies and standards to ensure internal staff gender equality, particularly at the management level. The strategies and activities of DCAF align with what is expressed by the Swiss Confederation Framework Agreement by making key efforts to implement an institutional change management process, implement a corporate level RBM system and development activities in the Maison de la Paix in collaboration with the other two centres.

With regards to effectiveness, there have been significant changes as the evaluation covers a time period within which there has been a change of leadership and the implementation of an institution-wide change management process. This has raised key areas of change such as: a need to clarify the capacity and role of the Foundation Council and Bureau; the need to re-evaluate DCAF's name and statutes; the implementation of the DCAF Regional and

Thematic Strategies 2017-2019 to help guide strategic work; the implementation and consolidation of the institution-wide change management process through a new structure, policies and processes; the implementation of the RBM system and publication of DCAF's first Performance Report 2016; the relationship with international organisations such as the UN; the positioning of SSR in relation to the SDGs Agenda 2030. While staff seem to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-term perspective, such wide-ranging changes are also challenging for the staff to accommodate. At this stage, it remains too early to assess the fruits of these processes.

With regards to efficiency, DCAF receives both core funding and project funding with the majority of the core funding being covered by Switzerland. In addition to core funding, the Centre also receives project-based funding, staff secondments or in-kind contributions. They face challenges as many donors take a short-term approach to long-term security sector governance challenges and the wide range of donor monitoring and reporting requirements are extremely varied tend to focus on short-term results. There is an immediate need to invest in more human resource capacity in the Financial and Human Resources Units as they have not sufficiently evolved to meet the needs of an organisation that has undergone significant growth, development and expansion since its inception.

With regards to sustainability, the continued core funding of the Swiss Government (approximately 44.1-46.7% of total contributions between 2014 and 2017) is significant in helping to ensure that DCAF can maintain its financial sustainability. DCAF's efforts to diversify both its financial and core funding base will only help the foundation become more sustainable in the long-term. Its ongoing investment in its field presence and long-term relationships with national actors, local interlocutors and beneficiaries will help ensure that it has the capacity to sustain operations in fragile and

conflict-affected contexts and that it is able to monitor activities and implement a lessons-learned process.

Conclusions and recommendations

As an organisation, DCAF has undergone significant changes during the evaluation period (2014-2017). Due to these changes, DCAF remains highly relevant in its thematic expertise, core mandate and key offerings in terms of training, products and services. It remains true to its mission to commit to SSG/SSR and goals to have an impact in fragile and conflict-affected contexts with the development of long-term partnerships and relationships with local interlocutors on the ground.

The area in which the organisation has undergone the most change is with regards to its effectiveness as this is linked to the ongoing institutional change management process, its standards and policies, its staff recruitment and leadership, its RBM processes, its standardisation of ways of working and its decision-making processes both at the Department and Management levels. The results show that while investments are being made to improve the effectiveness of the organisation in a wide range of areas, the implementation and consolidation of the reforms are still in their early stages and it remains challenging to adequately assess their impacts. Here, it is integral that there is additional investment into, for example, the Resources Department to help ensure that they have adequate training and capacity to support the implementation of new policies and reforms at the corporate level.

In terms of the governance of the organisation, there are some questions related to the future role and responsibilities of the Foundation Council and Bureau of the Foundation Council to make the organisation more effective and strategic in its operations. Generally, a more strategic relationship with donors would be fruitful.

In terms of financial efficiency, the growth of the organisation begs for further diversification of funds that would help it become less dependent on Swiss core funding. At the same time, the organisation must be cautious not to implement so many different financial mechanisms that could lead to competition between departments instead of coherence.

DCAF works hard to be sustainable in its activities through ensuring that local partners receive tailor-made solutions and that their needs and demands are adequately met. Through its change management process, it appears to be planning for a future that is more sustainable, long-term, effective and relevant.

Summary recommendations to DCAF Headquarters

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Acronyms

CdP	Comité de Pilotage
DCAF	Geneva Centre for the Democratic Control of Armed Forces
DDR	Disarmament, Demobilisation and Reintegration
DPKO	United Nations Department of Peacekeeping Operations
DPPS	Federal Department for Defence, Civil Protection and Sport (Switzerland)
EESCCA	Eastern Europe, South Caucasus and Central Asia
EQ	Evaluation Question
EU	European Union
FC	Foundation Council
FDFA	Federal Department of Foreign Affairs (Switzerland)
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
IADB	Inter-American Development Bank
IO	International Organisation
ISSAT	International Security Sector Advisory Team
LAC	Latin America and the Caribbean
MdP	Maison de la Paix
M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
MNC	Multinational Companies
NATO	North Atlantic Treaty Organisation
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee

OIF	Organisation internationale de la Francophonie
PBSO	United Nations Peacebuilding Support Office
RBM	Results Based Management
SDC	Swiss Agency for Development Cooperation
SDGs	Sustainable Development Goals
SSA	Sub-Saharan Africa
SSE	South East Europe
SSG	Security Sector Governance
SSR	Security Sector Reform
StG	Steuergruppe
TFNA	Trust Fund for North Africa
TOR	Terms of Reference
UK	United Kingdom of Great Britain and Northern Ireland
UMG	Universal Management Group
UN	United Nations
UNDP	United Nations Development Program
USA	United States of America

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1 Introduction

1.1 Context

1. This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between 01-07.2014 and 30.06.2017 and supporting learning and the corporate development of the Centres. This volume focuses solely on the findings for DCAF. For details on the methodology used for the evaluation, or the evaluation's findings on the other Centres, please see Volumes 1, 3, 4, 5 and 6. The appendices related specifically to DCAF are appended to this report.

2. DCAF is working in a global political context where issues related to fragility, security sector governance (SSG) and security sector reform (SSR) continue to be a high priority, particularly in the context of achieving the Sustainable Development Goals (SDGs). DCAF is dedicated to SDGs 5 on Gender Equality, 11 on Urban Safety and 16 on Peace, Justice and Strong Institutions. There is a growing proliferation of SSG/SSR needs in the fragile and conflict-affected contexts within which DCAF works. It is challenging for DCAF to operate safely in these contexts, based on the expertise, human, financial and field resources available, as well as its institutional restrictions as a foundation. Donor demands are often focused on short-term solutions and outputs, rather than outcomes, which often pose rapid deployment challenges as well reporting issues. There has also been an increase in the privatisation of development work and a proliferation of new organisations in SSR/SSG, such as private consultancy firms, that tend to be more profit oriented in their approach rather than a focus on the public good. This could be complimentary but could also be competitive, particularly as DCAF has a lower capacity to compete in tendering processes than private firms.

1.2 About DCAF

3. With 63-member states (including the Canton of Geneva) and 6 permanent observers, DCAF is the largest of the Geneva Centres based in the Maison de la Paix (MdP). DCAF is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders. Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for SSG and SSR.

4. DCAF was led by Ambassador Dr Theodor Winkler from its inception in 2000 until June 2016, when the leadership went to Ambassador Thomas Guerber. The change of leadership and subsequent changes in governance, management and institutional structures is a very relevant issue and must be taken into consideration in all the four criteria stipulated in the evaluation, namely: Relevance, Effectiveness, Efficiency and Sustainability. Based on an assessment by the new Director that there were a number of identified deficiencies within the structure of the organisation, an institution-wide change management process was launched on the 1st of January 2017 to assess the organisation's capacities and limitations, to change the institutional structure and to invest in policies and processes that needed further development. The institutional structure of the organisation went through a complete reform in 2017 (Please see organigrams from 2014-2016 and from 1 January 2017 in Appendix III).

5. This Evaluation of the three Geneva Centres analyses the organisation from 1 July 2014 – 30 June 2017 and thus covers these management transitions. This is perhaps the underlying challenge of the centre evaluation of DCAF: it needs to take both the old issues and new reforms into account but that it remains too early to assess the implications of the change management process that have just started to be implemented. It will be the responsibility of the next evaluation of the three Centres (in 2022) to make a first assessment of the impacts and results of this reform process.

6. Since the launch of the change management process, the organisation has become focused around three key areas of work, as reflected in the following Departments (for an overview of the changes to the organisational structure over the evaluation period, see Appendix III):

- 1) **Policy and Research:** Through its policy and research function, DCAF contributes to international discourses on development, peace and security policy, as well as to norms, standards and good practices for improving security sector governance, with a strong emphasis on assisting international actors, particularly multilateral organisations. In addition to its generic focus on security sector governance and reform (SSG/R), DCAF's Policy and Research Department has outstanding expertise on two specific programmatic areas: gender and security and business and security.
- 2) **Operations:** Through its operational work DCAF supports states to design and implement inclusive and participatory reforms aimed at enhancing the effectiveness and accountability of security provision. DCAF supports national partners in over 70 countries through providing policy and legal advice, support to institutional reforms to strengthen integrity, transparency, accountability and respect for human rights within the security and justice sectors; support to the development of effective parliamentary oversight and the development of inclusive national security policies and strategies; and support to build the capacity of civil society and independent oversight bodies. DCAF does this mainly through its six regional divisions with a focus on South East Europe; Middle East and North Africa (MENA); Sub-Saharan Africa; Eastern Europe, South Caucasus, Central Asia; Asia Pacific, and; Latin America & Caribbean) as well as strategic and local field offices (Brussels, Ljubljana, Beirut, Ramallah, Tripoli, Tunis).
- 3) **International Security Sector Advisory Team (ISSAT):** provides practical support to the international community in its efforts to improve security and justice, primarily in conflict-affected and fragile states. It does this by working with a group of member states and institutions to develop and promote good security and justice reform practices and principles, and by helping its Members to build their capacity to support national and regional security and justice reform processes through field advisory services; professional development and training; and the development and outreach of knowledge services.

7. Like the other two Geneva Centres, the majority of DCAF funding comes from Switzerland with 47% of its total budget through both core and project funding (See Table 1.1 below).

Table 1.1 *DCAF at a glance*¹

	DCAF
Year established	2000
Swiss core contribution (core and project funding) as % of total budget	47%
Role	Security Sector Governance and Reform
Donors (Organisations)	3
Donors (Country, including Switzerland)	26
Annual budget	CHF 24,787,335 (2016 operating expenditure)
# of staff	171 (59% women, 41% men); over 40 nationalities
# of members in Foundation Council	63member states + 6 permanent observers
# of members in advisory board	NA

¹ Values are as of 2017 unless otherwise stated.

2 Findings

2.1 Relevance

Finding 1: DCAF is at the forefront of the SSG/SSR market and has a strong, credible reputation. The Centre's name may be an obstacle to further growth (EQ1.1, 1.3)

8. DCAF is at the forefront of the SSG/SSR market and remains highly relevant in fragile and post-conflict contexts through its close relationships with national actors (including government bodies such as security and justice actor agencies, ministries that manage the services that security and justice actors provide, as well as different state and non-state oversight bodies including parliaments, national human rights commissions, ombudsmen, civil society and the media), as well as multinational companies (MNCs), international organisations (IOs) and donors. Its field presence means that DCAF has the capacity to sustain long-term operations in countries and has a reputation as a credible, trusted partner with good access to information. The data shows that DCAF has a unique organisational focus and profile thanks to its emphasis on local ownership, its convening power and its reputation as an 'honest broker' due to its connection to Switzerland and Swiss values of neutrality and impartiality. External stakeholders were globally positive about the continuing relevance of DCAF. For 88% of the respondents, the Centre is a leader in its field, 95% estimate the Centre responds to their needs and 87% think DCAF does not duplicate the work of other organisations.

9. DCAF has visibly increased the relevance of its services over the last 18 months through more strategic internal and external communication, an improved website and investments in mainstreaming their corporate brand. The Centre has used the implementation of an RBM process, the institutional reform and change management process to identify ways to help ensure that they are more strategic and that they remain focused on consolidating their identified priorities. However, activities that focus on looking forward are still being developed. These processes have helped ensure that DCAF is more strategic generally, and that it remains a relevant, niche actor in its field of SSG/SSR specifically. DCAF has a strong base of networks, partners, donors and recipient states, developing long-term relationships (over 15 years) with some donors and good links to multilaterals.

10. There are some areas for improvement in the relevance of DCAF's work. Staff were concerned that DCAF's name had a negative impact on its perceived relevance, triggering the wrong connotation that the organisation is dedicated to hard security and a military approach. Staff consistently suggested that they keep the acronym of DCAF, which is recognised internationally, but change the name to the Geneva Centre for Security Sector Governance. They hope that the new name will orient them towards being an organisation dedicated to issues such as governance and development. In addition, the legal personality of the foundation in Switzerland can have an impact on how they are perceived by partners, the protections and status they are given in the field and the types of EU funding they can access. Another challenge is in the location of the DCAF offices in Geneva, which has high overheads and constraining labour laws that make it challenging to obtain work permits for non-Swiss and non-EU candidates.

11. With regards to DCAF's regional focus, the DCAF internal staff survey suggested specific areas with the potential for further growth and development. This included suggestions that the Centre could include more research and studies on: SSG in Asian countries and the SSR work of Asian parliaments; Human rights and especially on torture in different contexts; SSG/SSR in Latin America; Exchanges and peer learning

among the regions covered by its operations; exchanges of know-how not only between consolidated democracies (e.g. EU, U.S. etc.) and the rest of world, but also between regions like SEE and Eastern Europe, or SEE and Latin America etc.; the work on developments in the EU and Europe should be continued as the democratic control of security institutions is weakening under populist threat and increased securitisation. External stakeholders also suggested that the Centre could further strengthen coordination between governmental and jurisdiction agencies, its field presence and increase its resources.

Finding 2: DCAF has relevant experience working in fragile and conflict contexts but could further invest in its conflict sensitive approach and ensure coherence across divisions and projects (EQ1.1, 1.3)

12. DCAF has experience working in fragile contexts, particularly with national actors and have a high capacity to deploy teams to the ground. The Centre has in-house content expertise from many different contexts as well as language expertise. Its publications have been published in over 50 languages which make the Centre's work not only relevant but also accessible to local partners and contexts. From an external perspective, 73% of survey respondents are convinced that DCAF is equipped to work in fragile states. However, there is not yet a corporate level approach to analysing conflict sensitivity. This is currently done at the project level to varying degrees by continuously engaging with partners on the ground to measure success and changes in the context. The incorporation of conflict analysis in projects often depends on donor expectations. For example, thorough conflict analysis took place prior to engaging in Myanmar and prior to mandate implementation for EU projects and Canadian-funded projects. There are plans to mainstream conflict sensitivity at the project level by making it part of the project management cycle in the future, but it is not foreseen that this is something that needs to be implemented at the corporate level.

13. The Centre's increased work in conflict contexts has inspired the development and mainstreaming of a travel security policy and system over the past two years. This includes a collaboration with SOS International for support for risk assessments and when needed medical or other guidance on evacuation etc., the guidance of a safety advisor at the corporate level to help organise security briefings on sensitive contexts prior to travel, the appointment division security officers at the division and project level. However, here too, some divisions are more advanced than others. For example, ISSAT has a thorough pre-, during and post-mission lesson learning that includes After Action Reviews (and how these are fed into new mandates) and Travel Risk Assessments, daily updates and hot wash-ups on return. Due to DCAF's activities in fragile and conflict-affected contexts, recent efforts have been made to ensure that the travel security system policy is mainstreamed through a travel risk assessment which is signed off by Divisional Security Officer, Head of Division, Head of Department and if it includes a high-risk destination, by the Director.

Finding 3: While Gender and Security has become an increasingly important thematic area, there is work to be done to ensure staff gender diversity at the management level (EQ1.5)

14. The Gender and Security Division was established as an independent unit on January 1, 2017, separating it from the Sub-Saharan Africa unit, where it was formally hosted, and giving it a seat at the Directing Board's table. It was a significant signal for the institutional commitment to Gender and Security. This has allowed for better focus and clearer communication to donors and partners about the area of expertise while also increasing DCAF's credibility. Gender and Security was highlighted as a key thematic priority in the DCAF Regional and Thematic Strategies 2016-2019 with a focus on integrating the

complementary approaches of gender mainstreaming and gender-specific programming. There is a DCAF Focal Point who leads activities on this issue in collaboration with partners such as the United Nations SDG Hub.

15. Efforts have also been made to mainstream gender and diversity within the organisation. There has been internal mainstreaming on the topic, such as introductory courses for new staff on Gender and Security and in 2017 the Directing Board received a half-day briefing on the topic. Based on internal staff survey results, gender and diversity considerations are perceived to be taken into account in Centre's training, operations and activities (31% strongly agree, 45% agree). From the external survey, respondents were particularly positive about the Centre's work to integrate gender considerations (75%) and the alignment of its work with current trends in the field (92%). DCAF has established guidelines on integrating gender and security into its programming. This includes a modes of cooperation paper between Operations and the Policy and Research Department which helps ensure that gender is considered at each juncture and within each programme, as well as within the regional and thematic strategies.

16. DCAF staff are diverse in three ways: gender; professional background and nationality. There has been some improvement in increasing gender diversity at the management levels since the new leadership. Currently, the DCAF Senior Management Team consists of two male and two female Heads of Department/ISSAT, in addition to the Director, who is male, which allows for a breakdown of 3 males (60%) and 2 females (40%). The Directing Board includes the Director, heads of department/ISSAT, deputy head of ISSAT, heads and deputies of divisions, heads of unit, and three advisors. The breakdown is: 16 males (60%) and 11 females (40%). Nevertheless, there are still areas where the engagement with gender considerations and human rights-based approaches could be strengthened. For instance, the data suggests a need to focus on more diversity in the staff from the Global South, particularly at the junior level. This would need to be accompanied by policies and processes to mitigate restrictions on work permits from non-EU countries.

17. DCAF is at the forefront of promoting Gender and Security abroad. To live up to its reputation, there is still some work to do to implement policies and standards that ensure internal staff gender equality, particularly at the management level.

Finding 4: While DCAF has refined its strategic priorities and focus, there is a potential to use donors, the Foundation Council and Bureau in a more strategic way (EQ1.1, 1.2, 1.8)

18. The strategies and activities of DCAF align with what is expressed by the Swiss Confederation. When it comes to the Framework Agreement, DCAF is in line with expectations of the Swiss Confederation which has called for the organisation to: 1) adapt its management structures and governance in accordance with its size; 2) move towards a process that takes an overall focus on impacts and results at the thematic and institutional levels; and 3) further refine the profile of the Centres to create synergies as a result of their move to the new Maison de la Paix in Geneva in 2014. DCAF has made efforts to achieve these three demands through its: 1) implementation of an institutional reform process that included a strategy development process and led to the publication of Regional and Thematic Strategies 2017-2019 covering all of DCAF's activity areas; 2) the implementation of a corporate level RBM system; and 3) the development of activities in the Maison de la Paix in collaboration with the other two centres. According to the Swiss Foreign Policy Strategy 2016-2019, the four priorities of Switzerland are linked with DCAF activities, particularly when it comes to the promotion of the Sustainable Development Goals and Agenda 2030. In the case of DCAF, particular emphasis is placed on Goal 5: Gender Equality, Goal 11: Sustainable Cities and Communities and Goal 16: Peace and Justice Strong Institutions. In terms of regional priorities,

DCAF is also in line with Swiss regional interests. Specific areas of Swiss project funding for DCAF has included activities in contexts such as Honduras, Western Balkans and Myanmar.

Finding 5: DCAF has used its position within the Maison de la Paix (MdP) to promote more synergies with the other Centres (EQ1.4)

19. A number of changes that have been implemented through the change management process have had a positive impact DCAF's relationship with the MdP. For example, a better strategic focus of the organisation and improvement of internal procedures and processes to enhance effectiveness and efficiency, an increased focus on results, the prioritisation of communication, a new website, more engagement with the Foundation Council, more networking with traditional donors and expanding their donor base. It is a DCAF Strategic Priority (2016-2019) to "identify and make full use of partnerships, synergies and opportunities for cooperation within the Maison de la Paix, including [...] GCSP and GICHD [...]".

20. The move to MdP is perceived by DCAF staff as both positive and negative. From the former, the physical move was a positive, strategic development to unify DCAF itself, which was previously spread around in different buildings in Geneva. It has given them a clearer sense of being a stronger, united "one DCAF" and has helped with internal communications and team-building. In terms of infrastructure, it provides the staff access to modern, well equipped offices as well as informal spaces for interaction. It has enabled more direct exchange between Divisions and with the Director. However, a minority of staff also responded that the building is an unhealthy work environment where people frequently complain about temperature, lighting and air quality.

21. In terms of the location and synergies within MdP and outside, there were also mixed responses. Some claimed that the more strategic location provides DCAF with more positive visibility in Geneva and the geographic proximity to other relevant institutions (both within the MdP as well as other UN institutions) has contributed to: better communication and greater intra-organisational cooperation (work with other Centres in MdP including through the Gender Hub, Interpeace, Small Arms Survey); people's participation in cross-divisional meetings, events (Geneva Peace Week, Regional Breakfast series by the Geneva Peacebuilding Platform, etc.), joint trainings (RBM), joint publications and information sharing (especially on topics as Gender and the SDG's); ease of informal exchanges on specific topics or challenges; an environment of learning and experience sharing; more efficient time-management. In general, being part of the MdP gives DCAF staff a sense of being part of a wider engagement to promote peace and security and a growing community of policy and operational experts. There is a feeling of continued collaboration and a willingness to really be a "Centre of Excellence" in the MdP.

22. However, according to internal staff survey results, it was also claimed that the potential for greater cooperation and synergies is far from maximised. While proximity helps, more efforts need to be made to capitalise on it to help fund such initiatives as most donors (with the exception of Switzerland, which has a stake in this particular outcome) are still not sufficiently interested in coordination and funding meta-studies and a true lessons identification process with a follow-on programme to adjust their own behaviour. The profiles of the three Centres are still very different from each other, distinct mandates and distinct capacities, which on the one hand ensures that they do not overlap in the services they provide, but on the other hand it also means that space for synergising activities is not always obvious. There is a need to create more visibility on the cooperation initiatives that already exists between the centres. There is still more to be done in terms of communicating within and in between the centres about the cooperation initiatives already undertaken and opportunities to explore.

2.2 Effectiveness

Finding 6: The capacity of the Foundation Council and the Bureau require further clarification to ensure effective strategic oversight (EQ 2.3)

23. The statutes of DCAF have not been modified since its inception, however a new process to do so has been launched by the Director in Autumn 2017 (after the period of evaluation). It was highlighted by staff interviews that there are several deficiencies built into the statutes that require review. For example, there have been questions raised on the roles, responsibilities and expectations of the Foundation Council and the Bureau. DCAF is making efforts to better utilise Foundation Council meetings to raise awareness within the Council itself of DCAF's expertise and services. The Centre is trying to diversify its funding base to other donor countries, member states and multilateral institutional to help raise its profile. There is a need to find ways to use the Foundation Council and the Bureau more effectively for fundraising and raising awareness.

24. Under the previous Director, there existed an International Advisory Board of approximately 51 experts who had close personal and professional connections to the former Director and who last met in 2015. Since the coming in of Director Guerber, the Board was put on hold with the aim of re-evaluating its main purpose and value. While the re-creation of the Board has not been abandoned, it is not a priority now. There is consensus that a potential future Advisory Board should be smaller and more strategically oriented. This raises questions about whether it would make sense to either create a new board, or whether to re-visit the roles and responsibilities of the Bureau of the Foundation Council to serve DCAF in this advisory function in a more strategic manner.

25. As a Foundation, there are particular legal restrictions that DCAF faces in regard to its operations abroad and the security of the international and local staff at the field offices. As DCAF is operating in fragile and conflict-affected contexts on issues that are highly sensitive, and its operational activities and staff should be protected under international and local labour and human rights laws, and that they have adequate security and evacuation policies in place. We consider these issues in our recommendations.

26. Due to Swiss legislation on Foundations, it is relevant to note that any changes to DCAF statutes would need to be approved by the respective Council with a special quorum and need approval by the respective Supervisory Authority. Should DCAF require a revision of the scope or purpose in the Deed of the Foundation, it would require a unanimous decision of the initial 23 founders of DCAF.

Finding 7: The strategic development process was key to helping the Centre sharpen its focus, set its key priorities and communicate its thematic and regional strategies (EQ2.1)

27. Prior to January 2017, the process of identifying DCAF strategies was led by the former Director and was a less systematic process than is in place today. While they were perceived to have been developed in a less systematic manner, the strategies were perceived to have been aligned with the Framework Agreement with the Swiss Confederation. Also prior to January 2017, the process of identifying the ISSAT strategy was developed with its own Governing Board.

28. After January 2017, the process of identifying and establishing the DCAF Regional and Thematic Strategies 2017-2019 was a much more thorough, consultative internal process that was delegated to Heads of Divisions. They were tasked with taking external needs and demands into account and designing a DCAF-wide strategy, rather than designing strategies for their individual Divisions. This helped to ensure

that the task was holistic and coherent at the corporate level. Through the review process, trend topics such as cyber security, migration and health and security were deprioritised, and more emphasis was placed on regions, such as Latin America and the Caribbean and the Sahel region. The strategy process took place from February to August 2017 and the new DCAF Regional and Thematic Strategies 2017-2019 were reviewed by the Bureau and then presented to the Foundation Council, in November 2017.

29. DCAF Regional and Thematic Strategies 2017-2019 is aimed at helping guide the annual work plan process and providing a detailed account of results achieved at the outcome level through annual performance reports. However, the process is still ongoing and remains early to see the results. DCAF Regional and Thematic Strategies 2017-2019 identified three thematic strategies and six regional strategies, namely:

- 1) Contributing to the future SSG/SSR policy agenda
- 2) Gender and Security
- 3) Business and Security
- 4) South East Europe (SEE)
- 5) Middle East and North Africa region (MENA)
- 6) Sub-Saharan Africa (SSA)
- 7) Eastern Europe, South Caucasus and Central Asia (EESCCA)
- 8) Asia-Pacific
- 9) Latin America and the Caribbean (LAC).

30. In addition, it is important to note that ISSAT is guided by a strategy and programme of work approved by its Governing Board, which was developed separately and runs until the end of 2019.

31. Through the process of developing the DCAF Regional and Thematic Strategies 2017-2019, DCAF has made significant strides towards developing a much more focused strategy and placing emphasis on their core mandate and areas of expertise. Where there could be further strengthening is in the communication of these strategies to donors and other external stakeholders, as well as a more systematic consultation process of donors so that their needs and strategies are more effectively taken into consideration. Several interviewees in the Swiss government commended the new Director for abandoning thematic areas that they felt strayed from DCAF's core mandate and expertise, such as cyber security and migration. They felt that it was imperative that the Centre remain true to its niche expertise: in the field, in operations and in providing practical, applicable advisory services on SSG/SSR.

Finding 8: DCAF's institutional reform process launched on 1 January 2017 has been a ground-breaking experience but it is too early to assess the impact (EQ2.1, 2.3.2)

32. The change of leadership in 2016 was significant in terms of the governance and management structures of the organisation. Based on interviews with both internal and external interlocutors, the positive elements of the pre-2016 structure was that it allowed for flexible, entrepreneurial, rapid growth and expansion of the Centre through a 'start-up' approach. The Director was well informed about what was taking place across the organisation and was a hands-on, charismatic leader who took a lot of

responsibility. From an institutional organisation perspective, the structure was seen as weak as it led to incoherence, less strategic focus and parallel ways of doing business. There were few accompanying policies, processes and corporate level standards vis-à-vis the growth and needs of the staff, changing donor demands and expectations, as well as the resources required to provide an increased range of products and services. The different Divisions were highly autonomous from one another due to their different financial tools and mechanisms, independent monitoring and reporting processes and lack of standardised or corporate-level decision-making processes, making it difficult to have a 'one DCAF' identity. Particular weaknesses were identified in the Human Resources Unit, internal and external communications, delegation of responsibilities, slow, unclear decision-making processes, financial management and planning.

33. On the 1st of January 2017, the new Director, Ambassador Thomas Guerber launched an institution-wide reform process which greatly affected the foundation's management, institutional structure, policies and processes. The reform process is meant to assess strengths and weaknesses of the existing DCAF institutional structure, establish specific task teams to strengthen internal policies and processes in areas such as finances, human resources and cooperation. So far, organisational processes and task teams have been established with timelines until January 2019 to take corrective action on structural issues. Ongoing organisational reform needs time and patience to bear fruit. With the launch of the reforms, DCAF identified six key strategic vectors:

- Sharpening of strategic focus
- Achieving sustainable operational growth
- Developing effective internal systems and coherent policies
- Ensuring competent external communication and fundraising
- Broadening donor base and increasing core funding
- Improving governance arrangements.

Finding 9: DCAF staff have a mixed level of satisfaction with the institutional reform process (EQ2.1, 2.3.2, 2.4)

34. The reform process has been met with mixed reactions by the DCAF staff. Some see the reform process as a well-overdue, overwhelmingly positive process. Those that supported this view identified that while the structure under the previous leadership provided autonomy to different divisions, it did not necessarily help to create a coherent organisation with parallel capacities, financial sustainability and a clear overall strategy. Similarly, they argued that there was a need to invest in centralised management systems, human resources administration and mainstream policies and processes to ensure coherence across the organisation. Others expressed some concern that the institutional reform process should not overpower content of the organisation and create an over-bureaucratic organisation that is no longer able to be flexible, responsive and rapid in their ability to respond to donor needs. Some expressed fears that too much focus on policies and processes would deter from operational activities and priorities.

35. Based on the DCAF staff survey, staff satisfaction with management and governance at DCAF is mixed. According to staff survey results, staffs are undecided about the outcomes of organisational changes for the effectiveness of the organisation (31% neither agree nor disagree that organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives; 37% agree and 16% strongly agree). While more than half either agree or strongly agree with the positive statements, there is around one fifth reporting that they neither agree nor disagree with the statements. This may simply reflect the transition period that DCAF is going through. Just over one third of respondents

disagreed (27% disagree and 9% strongly disagree) that there are adequate guidelines and policies to allow me to work efficiently. Similarly, over one third disagreed (26% disagree and 11% strongly disagree) that the strategic objectives of DCAF and their means of implementation are communicated clearly and effectively by senior management.

36. Trends in the qualitative responses suggest that there are perceived issues with internal communications, coordination and dissatisfaction with management, although there is also a recognition that the organisation is going through a reform process. Overall, staff seem to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-term perspectives. With regards to specific improvements, some staff commented that there is improvement in how the Foundation Council has been used as it is more dynamic now. Further, many important steps have been made in improving the management and governance of the Centre. From a positive perspective, the reform process is ground-breaking in its approach to challenging previous discrepancies and addressing institutional reform in a holistic way. However, it is still too early to assess the fruits as the accompanying policies, guidelines and implementation of it are still missing.

37. On the other side of the coin, there continues to be very critical voices within the staff who are concerned with the fact that despite reform efforts, there continues to be a lack of transparency and accountability on decision-making processes, including with regards to promotions and the complexity of the decision-making structure, as well as weak internal communications.

Finding 10: The newly established Results-based management (RBM) process is a well-integrated yet complex system of analysis to measure DCAF outcomes (EQ2.2)

38. One of the recommendations of the 2014 independent evaluation of the three Geneva Centres, and endorsed in the framework credit for 2019-2019, was for DCAF to introduce a results-based management (RBM) system at the corporate level as a tool for tracking how the organisation contributes to change in a meaningful and measurable way. DCAF endorsed this in the 2015 Annual Report and adopted the approach in the DCAF Regional and Thematic Strategies 2017-2019. While the decision and launch of the RBM process was under the previous Director, the process continued with the piloting phases and final implementation under the current Director. In 2014, a regular dialogue at Directing Board meetings on RBM helped to consolidate ideas and provide a feedback platform. An Internal Working Group on RBM was established in 2014, led by the Research Division. The Working Group was supported by both internal expertise of DCAF staff as well as thorough external advisory support from RBM experts at the Swiss Agency for Development Cooperation (SDC) to help identify a theory of change, create a results framework, establish fields of observation and establish a two-year piloting process in 2015-2016. This included six regular joint RBM learning workshops between DCAF and SDC, with the seventh scheduled for June 2018. Additional human resources were acquired in May 2015 to support the piloting and implementation processes and to carry out ongoing research on monitoring and evaluation processes in relation to SSR. The result is that DCAF now has a systematic and thorough corporate-level RBM process in place to monitor results. The RBM process aimed to fulfil three main purposes:

- 1) Accountability: this has been fully ticked off through the creation of the system, the piloting process and the mainstreaming of it at the corporate level.
- 2) Strategic steering: this was implemented through the DCAF Regional and Thematic Strategies 2017-2019 but also the first ever DCAF Performance Report 2016 that helped to inform their annual work plans. However, there is still work to be done with regard to combining snapshots and trends and focusing on ways forward.

- 3) Lessons learned: This is seen as a key priority for 2018 to develop a corporate level system for capturing lessons learned. Until now, this has been ad hoc, anecdotal and informal through spaces such as brown bag lunches at the project level. It is worthy to note however, that learning does take place at the project and programme level of evaluations. For example, ISSAT has an institutionalised process of After Action Reviews for all of its mandates.

39. With the RBM process becoming fully operational in 2017, specific tools and measures have been established to help assess the accuracy and progress of their strategy implementation. This includes a Corporate Results Framework, internal guidelines, questionnaires and other tools. The corporate results framework aims to respond to the question: “What have we achieved?” through the identification of Activity lines, Outputs, Immediate Outcomes, Intermediate Outcomes, Main Outcomes and Impact. Reporting then focuses on the lower two levels of immediate and intermediate outcomes. Based on these different instruments, DCAF was able to gather information at the corporate level and synthesize this performance information into its first ever annual Performance Report 2016, which provided an overview of programmes, projects and activities undertaken, and outlined the medium-term results that materialised. These efforts need to be acknowledged as a significant leap forward in an organisation that did not have a RBM system to speak of in the time of the 2014 evaluation. Thus, it aimed to enhance accountability and transparency towards national and international stakeholders with which DCAF partnered in the last year.

40. Based on the staff survey, many respondents acknowledged that the RBM system has great potential. However, a minority - approximately 17% - critiqued the system, saying that it is too complex, theoretical, bureaucratically heavy, time consuming and still requires significant adjustments to respect local ownership processes. It was also seen as a marketing tool to help with DCAF’s image and donor relations. These critiques show that RBM is perceived by some to be detached from the reality of their work. There continues to be discrepancy between Divisions on how well the RBM system is used and applied as well as to what extent divisional management and RBM focal points support the RBM process and encourage staff to attend RBM trainings. Nevertheless, as this observation came from the internal survey, we cannot know if these respondents were involved or not in the RBM process, but it was a significant number, enough for the evaluation team to warrant mentioning these criticisms in the report. Another gap that emerged from interviews is that the RBM system is not linked with financial reporting. It is a goal that the arrival of a new Head of Resources Department will take up this issue in the second half of 2018 in collaboration with the Finance Team.

Finding 11: DCAF’s first Performance Report 2016 shows important progress in monitoring results and achieving outcomes (EQ2.2)

41. Over one third of staff strongly agree that the products and services provided by the centre are of a high standard. According to external survey results, stakeholders were positive about DCAF’s effectiveness, agreeing that it has a clear strategic direction (43% strongly agree, 41% agree), that it coordinated well with its partners (52% strongly agree, 35% agree) and that it is effective in providing its services (87%). As part of the implementation of the RBM process, DCAF published its first Performance Report in 2016. The Table 2.1 provides detailed information on key outcomes.

Table 2.1: Overview of DCAF Outcomes 2016

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
Creating knowledge products	DCAF's knowledge products have contributed to enhancing national and international partners' training initiatives	A CSO in Mali used the tools on political leadership and national ownership and civil society involvement in SSG/R from the ECOWAS <i>toolkit for Security Sector Reform and Governance in West Africa</i> that DCAF developed in the training local members as well as awareness raising in the Segou, Mopti and Timbuktu regions.
	DCAF's knowledge products have contributed to national partners developing legislation, policies and institutional structures based on insights gleaned from them, and to international partners relying on these products to inform support to SSR	Members of the South Korean parliament pooled annual resources to translate the DCAF toolkit on overseeing intelligence services in order to learn more about international good practices on intelligence oversight. They then used the Korean version of the toolkit to inform other parliamentarians on international good practices of democratic oversight of intelligence services when an anti-terrorism law was debated in parliament.
	DCAF's knowledge products have contributed to improving national and international partners' planning of initiatives aimed at strengthening SSG	SSG/R focal points in the OSCE used the guidelines on impact-oriented and cross-dimensional approaches to SSG/R that had been developed with the support of DCAF in the planning and design of new projects. The guidelines on impact-oriented approaches to SSG/R were used in particular to identify potential avenues for support to SSR in countries of the OSCE region and develop objectives that are linked to long-term rather than short-term results.
Promoting norms and good practices	DCAF's promotion of norms and good practices has contributed to increased cooperation between governmental and non-governmental stakeholders at the local and national levels, including more inclusive and participatory security policy-making.	In Liberia, DCAF's support to multi-stakeholder dialogues in selected border communities contributed to increased cooperation between community-based organisations, traditional authorities, local officials and security forces, as well as decisions being taken to improve public safety and security in those communities.
	DCAF's promotion of norms and good practices has contributed to increasing acceptance of the validity and significance of norms and good practices of SSR and an emerging normative commitment to abide by these international standards among national and international partners	DCAF's promotion of principles and good practices enshrined in the International Code of Conduct (ICoC) played a vital role in the further expansion of the membership of the International Code of Conduct Association (ICoCA). Civil society organisations, including those from the global South, private security companies and states have increasingly joined the ICoCA to enhance oversight of the private security industry and its compliance with international law and human rights.

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
	DCAF's promotion of norms and good practices has contributed to national partners adopting good practices and institutionalising international norms in legal, policy and institutional frameworks.	In Kosovo, DCAF's promotion of gender equality and integration of gender perspectives in its parliamentary assistance activities prompted the Assembly of Kosovo to establish a gender focal point within its security committee in 2016. The appointment of the focal point has translated into greater consideration of gender in the activities of the committee, built confidence in dealing with security stakeholders and increased the awareness of gender perspectives in discussions at plenary level.
Providing legal and policy advice	DCAF's advisory support has contributed to the development or amendment of legal frameworks and instruments governing national security sectors, as well as their initial implementation.	In Peru the national partner SUCAMEC developed a draft by-law to implement the 2015 private security law, along with a draft national code of conduct for private security companies in line with DCAF advice.
	DCAF's advisory support has contributed to national and international partners developing or revising policy frameworks and strategic plans related to SSR	In Bosnia and Herzegovina DCAF's advisory support to promote gender equality in the judiciary system reinforced the implementation of the Guidelines for the Prevention of Sexual and Gender-based Harassment within the Judicial Institutions of Bosnia and Herzegovina, which had been developed with the support of DCAF.
	DCAF's advisory support has contributed to the development of institutional structures and mechanisms to increase the effectiveness, transparency and accountability of national security sectors and international support to SSR	In the framework of an EU project led by the German Federal Police to improve border management in Southeast Europe, DCAF's policy advice contributed to the establishment of a regional network of Police and Customs Cooperation Centres. This network provides the basis for further aligning these centres across the region with EU standards for border and customs management.
Developing capacities		
<i>Individual level</i>	DCAF's individual capacity building has contributed to strengthening the delivery of professional training for security sector personnel in line with international standards and good practices by national partners	In the framework of support to police reform in Myanmar, DCAF's individual capacity building targeted at the senior management of the Myanmar Police Force contributed to the chief of police independently initiating and organising a series of training workshops on service-oriented policing that relied extensively on the draft code of ethics and police vision developed on the basis of DCAF advice in a prior police reform project.

ACTIVITY LINES	KEY OUTCOMES	PROGRESS EXAMPLES
	DCAF's individual capacity building has contributed to national partners starting to mainstream gender equality in the management of security services, with emerging changes in respect for gender equality among security institutions.	A researcher associated with the Civil Protection Services of Mali who had been trained by DCAF to collect information for the development of a gender survey of security institutions in the country was able to leverage his knowledge on the role of gender in the security sector successfully to advocate for a higher gender quota in the recruitment of new personnel for the Civil Protection Services. With 100 out of the 500 new recruits being women, the Civil Protection Services recruited the highest number of women in its history in 2016.
<i>Institutional level</i>	DCAF's capacity building at the institutional level has contributed to increased parliamentary oversight of national security sectors	The Intelligence Oversight Committee of the Assembly of the Republic of Macedonia conducted its first two pre- inspection monitoring visits to the Macedonian Security and Counterintelligence Service (UBK) and its Foreign Intelligence counterpart (AR) since early 2006, applying its enhanced knowledge and competencies acquired through joint meetings with DCAF experts.
	DCAF's institutional capacity building has contributed to national actors adopting or reinforcing transnational mechanisms and instruments to enhance border management and combat serious and organised crime.	In the framework of its Border Security Programme in Southeast Europe, DCAF's institutional capacity-building support enabled experts from partner countries to organise and execute common and coordinated cross-border police operations that were based on operational plans and an annual regional risk analysis developed with the support of DCAF.
<i>Societal level</i>	DCAF's capacity building at the societal level has contributed to civil society more effectively influencing security dialogue as well as the increased integration of civil society perspectives and expertise into national SSR processes.	In Tunisia, journalists who had been trained by DCAF on SSR, as well as basic methods and techniques of investigative journalism, published a number of articles covering issues related to the security sector, successfully applying their new knowledge and skills.
	DCAF's societal capacity building has contributed to strengthening the role of women in security policy-making at the local level.	In the framework of support to enhance SSG in Liberian border communities, DCAF capacity-building activities targeted at women's CSOs enabled women from Vahun District to advocate successfully for the assignment of a female police officer to their district. The assignment of the female police officer is expected to make police services more gender sensitive and increase the ability of local police to respond to sexual and gender-based violence.

Finding 12: DCAF has increased collaboration with the United Nations and is positioning SSR in the SDGs Agenda 2030 (EQ2.8)

42. The Centre has increased its collaboration with the United Nations (UN) and the international financial institutions (IFIs) such as the World Bank, Inter-American Development Bank (IADB), etc. since 2014. There are many significant mandates that are related to: Guidance (UN Technical Guidance on SSR, drafting of key documents, field research etc.); policy research (on the integration of ex-combatants into security institutions, the UN approach to defence sector reform); and field support.^t A formalised cooperation agreement was established with the UN Department of Peacekeeping Operations' (DPKO) SSR Unit in November 2016. Cooperation is on outreach, policy, research and guidance and field support and implementation of the UN's sustaining peace/prevention agenda from a SSR perspective. The deep personal and professional networks of the current Director, having lived and worked in New York for seven years, appears to be crucial in supporting DCAF-UN relations. There are other staff members that have worked in New York and at the UN specifically whose networks and relations also contribute to these DCAF-UN relations and activities.

43. DCAF is positioning SSR in the area the SDGs Agenda 2030 by focusing on activities related to SDGs 5, 11 and 16. They do this through the overall theme of governance of SSR through inclusivity, democracy and direct reforms. On SDG 5 they have established a staff focal point person, are engaging with the UN/SDG Hub, and supporting seminars with the UN in Geneva. On SDG 11, they are supporting activities related to SSR for safer cities by supporting states. The Policy & Research Division collaborated with the Operational Division to develop a SSR paper on urban safety and is currently carrying out a dedicated policy research project, with the support of the FDFA. Regarding SDG 16, DCAF contributed to the Pathfinder's SDG16+ Initiative in 2017 and plans to further prioritise SDG 16 in 2018-2019. Staff survey results show that DCAF is positively contributing to the SDGs, implementing a holistic approach to SSR/G and increasing support to police and justice-related activities.

2.3 Efficiency

Finding 13: DCAF has met the threshold for diversifying its funding sources (EQ 3.1)

44. DCAF receives both core funding and project funding with the majority of the core funding being covered by Switzerland, with the support of other core donors such as Sweden. In addition to core funding, the Centre also receives project-based funding, staff secondments or in-kind contributions. As of figures from 2016, DCAF received 53% of its income from other sources, totalling approximately CHF 9,674,526 of its income (See Table 2.2 below).

Table 2.2 *Share of funds to DCAF by other donors²*

YEAR	TOTAL INCOME (CHF)	SWISS CORE CONTRIBUTION (CHF)	% OF CONTRIBUTIONS FROM OTHER SOURCES	OTHER SOURCES
2014	32,251,497	10,920,000	66%	EU DCAF, NATO, OIF, UN, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Denmark, Estonia, Finland, France, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Montenegro, Netherlands, Norway, Slovakia, Slovenia, Sweden, Switzerland (project funding), UK, US (USAID), others
2015	30,216,366	10,961,322	64%	EU, OIF, NATO, UN, Albania, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Denmark, Denmark through National Democratic Institute, Estonia, Finland, France, Germany, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Moldova, Montenegro, Netherlands, Norway, Romania, Slovakia, Slovenia, Sweden, Switzerland (project funding), UK, US, others
2016	24,025,076	11,250,679	53%	EU, OIF, NATO, UN, Albania, Austria, Azerbaijan, Bosnia and Herzegovina, Bulgaria, Czech Republic, Denmark through NDI, Estonia, Finland, France, Germany, Hungary, Ireland, Latvia, Liechtenstein, Luxembourg, Macedonia, Moldova, Montenegro, Netherlands, Norway, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland (project funding), UK, US, others
2017	Not yet available	Not yet available	Not yet available	Not yet available

45. The organisation has experienced some fluctuation in donor support in the years covered by the evaluation. For example, interviews and data shows that while project funding went down by almost 10% between 2015 and 2016. The organisation also experienced a reduction in core funding from Switzerland and a very significant reduction in project funding from Norway in 2016 (See Table 2.2). Therefore, 2016 was a tough financial year, with an operating income lower than operating expenditure, a reduction of project funding and a lower operating result. However, efforts have been made in 2016 and 2017 to regulate these issues. Currently, the Centre has achieved 53% of 3rd party funding, well above its target of 45%. This objective is met largely through bringing in more project funding, which is not sustainable in the long-run as donor priorities change rapidly. Project funding from Switzerland on FDFA projects has also fluctuated from 2014-2017. It went down from 4.5 million in 2014 to 2.4 million in 2015, and then

² All numbers taken from annual Financial Reports to the Council of Foundation (COF).

increased again to 3.1 million in 2016 and on to 3.13 million in 2017. As such, other efforts are being made to diversify their core and funding base. One new significant donor includes the George Soros Open Society Foundation (2017: 1 million over 2 years). As of 2017, there have also been requests made to new donor countries (such as Qatar, as well as requests for increases to Sweden, Norway and Germany).

46. DCAF benefits from a range of different funding mechanisms and tools such as core funding, project funding, the Trust Fund for North Africa (TFNA), the International Security Sector Advisory Team (ISSAT) (See Table 2.3 below) as well as inter-divisional cost-recovery mechanisms to help distribute the core and project funding adequately across the organisation. While this financial diversity helps the organisation ensure that it can acquire 45% of third party funding, it also means that the departments continue to be fairly independent of one another. This also has an impact on how the different departments engage with donors. For example, while the Policy and Research Division rely heavily on core funding, Operations relies almost entirely on project funding, with which there is a more direct dialogue with donors about fulfilling client needs and demands. ISSAT rarely applies for tender, as it focuses on the needs of its main clients, which are part of its Governing Board (16 bilateral and 7 multilateral organisations).

Table 2.3 *Overview of DCAF funding mechanisms*

DEPARTMENT OR DIVISION	FORM OF FUNDING	MAIN DONORS
Resources Department	Core Funding	Sweden, Switzerland etc.
Policy and Research Policy & Research Gender & Security Public-Private Partnerships	Core Funding	Switzerland, Open Society Foundation etc.
	Project Funding	Germany, Slovakia, Switzerland, UK etc.
	Inter-divisional cost-recovery mechanisms	n/a
	Public Private Partnerships pooled fund	UK, Switzerland
Operations Southeast Europe MENA Sub-Saharan Africa Eastern Europe, South Caucasus, Central Asia Asia Pacific Latin America & Caribbean	Project Funding	Belgium, EU, Germany, Netherlands, Spain, Switzerland, UN etc.
	Trust Fund for North Africa (only for Tunisia, Morocco, Egypt, Libya)	Belgium, Germany, Luxembourg, Netherlands, Slovakia, Sweden, Switzerland
	Pooled fund on Macedonia	Macedonia, the Netherlands, UK plus pledges/expressions of interest from Germany, Sweden, Switzerland
	Pooled fund on Police Cooperation Convention for Southeast Europe	Albania, Austria, Bosnia & Herzegovina, Bulgaria, Hungary, Macedonia, Moldova, Montenegro, Romania, Serbia, Slovenia
ISSAT	Pool Funding	Ireland, Netherlands, Norway, Slovakia, Sweden, Switzerland, UK etc.
	Project Funding	Austria, EU, France, Germany, IADB, UNDP, Finland

47. Based on the staff survey results, the availability of core budget funding is extremely effective in supporting them to engage in long-term projects, which helps to achieve results as immediate and intermediate outcomes may take years to achieve and require a long-term perspective. From a negative perspective, many donors take a short-term approach to long-term security sector governance challenges. Also, while they have increased their project funding, this has not been matched by increasing core funding; Core funding base is still not adequately diversified, which limits the growth potential of the organisation. Further, the wide range of donor monitoring and reporting requirements are often so varied and time intensive, which are not always effective or useful in developing lessons learned, but only focused on short-term results.

Finding 14: The Centre has outgrown the current capacities of the Financial and Human Resources Units (EQ3.2)

48. Based on the SWOT workshops and interviews, there is a perception that DCAF are not using financial and human resources, and data on these resources, as efficiently as possible. In alignment with the new institutional reform process, new financial management and control procedures have been implemented. For example, efforts have been made to implement the Swiss GAAP (full fair closure) standards and processes. A financial core funding monthly forecast process has been implemented which leads to annual financial projections.

49. It was mentioned by a significant number of interviewed staff members that there is a need to invest in more human resource capacity in the Financial and Human Resources Units as they have not sufficiently evolved to meet the needs of an organisation which has undergone significant growth, development and expansion since its inception. The current capacity of two persons (one Head at 60% and one Assistant at 100% since November 2014) is not sufficient for an organisation of their size (171 staff at Headquarters and Field Offices). The new reform process has already introduced several policies, processes and measures, such as the implementation of a new salary table, policies on promotions, consultancy fees and personal integrity and generic job descriptions. It is also a DCAF goal to develop a new recruitment process, involving the Human Resources Unit. While the reform process has led to significantly more work for the Human Resources Unit, there has not been an investment in more resources / capacity to fulfil the regular, ongoing, daily tasks as well as the implementation of the reform process which requires significantly more attention and workload. The increase in the capacity of the Unit, such as through the appointment of a full-time Head and a new administrative position, was one of the most commonly mentioned recommendations by DCAF staff that were interviewed for this evaluation and we return to this in our recommendations section below.

50. It has been brought to light that cases of harassment were not always adequately addressed before the arrival of the new Director. As part of the institutional reform process, the new Director initiated a revision of the sexual harassment policy by consulting the two persons of trust, mandating an external organisation to submit a comprehensive policy proposal and consulting with the Directing Board and other staff for feedback. This led to a new policy on personal integrity that is much more effective and more 'staff-owned' with the message of a zero-tolerance policy towards harassment in the workplace. This has been an important step towards addressing harassment claims and putting forth grievance and redress mechanisms for victims. The new Director has also taken some decisive decisions that demonstrate his motivation to implement this zero-tolerance policy. However, there still needs to be further investment within the Human Resources Unit to ensure that they have adequate capacity, training and necessary tools to implement such policies on a corporate level and to safeguarding a healthy and secure workplace. This includes working with external experts on harassment when appropriate to ensure that all staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms.

However, in order to effectively implement this, some directed core funding would help contribute to this reform process as the financial investment into the Resources Department is crucial to the Foundation's sustainability.

51. There is general agreement that the proportion of core experts and external experts is appropriate and that the Centre has the internal expertise it needs to deliver its services. There is however a clear split of opinions on the question of whether there is a duplication of roles and functions among staff at the Centre. Finally, staff are satisfied with efficiency in terms of achieving outcomes with the required resources and in good time. From the external survey, one sees that there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at DCAF to collaborate.

2.4 Sustainability

Finding 15: The investment in tailor-made solutions for local partners, donors and stakeholders helps to ensure sustainability of their interventions (EQ4.1)

52. Overall, the continued core funding of the Swiss government (approximately 44.1-46.7% of total contributions between 2014 and 2017) is significant in helping to ensure the DCAF can maintain its financial sustainability. Efforts to diversify both its financial and core funding base will only help the foundation become more sustainable in the long-term.

53. Based on interviews with some operational and field office staff, DCAF ensures that beneficiaries continue to benefit from the intervention after the completion of a project through tailor-made and needs-based training of local partners, donors and stakeholders. Knowledge transfer and capacity building is the key to ensuring sustainability and long-lasting change should the intervention cease. At the same time, one respondent highlighted the importance to differentiation between some activities that are very sustainable because of local political will, capacity and resources to sustain activities. There are others where there would be a risk that a lack of DCAF engagement in future activities could mean the collapse of certain activities because the intervention is challenging, and the local partners are still in an ongoing reform process.

54. DCAF's field presence means that it has the capacity to sustain long-term operations in different fragile and conflict-affected contexts. They are seen as a credible, trusted partner in country, with good access to information. They believe they have positive donor relations, with long-term relationships (over 15 years) and with recipient states and multilateral organisations. One of the threats they face is that donor demands are often focused on short-term solutions and outputs rather than outcomes. Further, the fluctuation in project funding can be challenging for sustaining the field offices.

Finding 16: While there is room for improvement in the monitoring of results, DCAF invests in developing trainings, products and services that help ensure long-term sustainability (EQ4.1)

55. Based on Staff Survey results, DCAF and its products have a strong reputation and influence strategy and policy making. There is certainly room for improvement in the measurement of results and evidence gathering, however, proper means should be secured and provided for that process. The Centre invests in developing long-term relationships, building on experiences and tracking the implementation or application of previous projects. There is regular and systematic monitoring through both field offices, as

well as Headquarters staff and staff are in constant direct exchange with key beneficiaries. DCAF aims to ensure sustainability of engagements, for example, by supporting local civil society organisations and civil servants who remain in long term contracts and continue supporting local institutions. DCAF invests in developing tailor-made trainings for national governments, partners and donors in different contexts to help ensure knowledge transfer and sustainability. These are often accompanied by Manuals and Toolkits that are use-friendly and applicable to different contexts and issues.

56. However, some of the challenges the Centre faces are with regards to monitoring processes that could be stronger, though they do follow up on results with some regularity. There are limited human and financial resources to ensure monitoring once a project is completed. From an RBM perspective, there is no real feedback on how individual outputs could be used for future projects. One issue is that sustainability is partial because of staff turnover.

57. The External Survey results demonstrated that donors, clients and partners are relatively satisfied with the sustainability of DCAF activities. When asked for examples of collaboration with DCAF that leads to lasting change, externals mentioned: trainings, events, workshops, on capacity-building and sharing of best practices on areas such as anti-corruption, SSR, linkage between mine action and SSR, gender and diversity, integrity (police and security forces), RBM, empowerment of civil society and public discussions; concrete operational activities in Ukraine, the Gambia and Guinea Bissau and Honduras, Myanmar, Philippines, Tunisia, former Yugoslavia countries; translation of DCAF publications in local languages; networking with other countries; elaboration of SSR/SSG guidelines; global support to fragile states.

58. When prompted to provide factors that supported this sustainability, respondents stated that DCAF has expertise, commitment invest in follow-up after projects. They are perceived as using a comprehensive and diplomatic approach adapted to local context and with a highly cultural sensitive staff. The continuity in the programmes, responsiveness, flexibility, credibility and reputation of the Centre were all appreciated. Further, it was stated that DCAF provided financial support and close collaboration with local and regional partners through trainings, workshops, seminars, good communication and transparency. One respondent stated that DCAF is: The first institution to seriously look at gender in an SSG/SSR context. The external survey results are highly positive demonstrating that issues raised by DCAF staff (such as human resources, management and lack of sustainability) are not felt or raised by external stakeholders.

59. In terms of planning for the future, the ongoing institutional reform processes are a step in the right direction. Further investment needs to be made in human resources capacity and the implementation of new policies and processes at the corporate level. With regards to the RBM process, the third aim (to implement a Lessons Learned process) is planned for 2018 and this will be an integral process to help ensure that they can collect data from their RBM process outcomes and create ways to systematically transfer knowledge and learning for future project development.

3 Conclusions

60. As an organisation, DCAF has undergone significant changes during the evaluation period (2014-2017). Due to these changes, DCAF remains highly relevant in its thematic expertise, core mandate and key offerings in terms of training, products and services. It remains true to its mission to commit to SSG/SSR and goals to have an impact in fragile and conflict-affected contexts with the development of long-term partnerships and relationships with local interlocutors on the ground.

61. Where the organisation has undergone the most change is in relation to its effectiveness. The evaluation of DCAF is particularly challenging as it covers a time period in the organisation's life that signifies a complete reform of the institutional organisation, its policies and processes, its staff recruitment and leadership, its RBM processes, its standardisation of ways of working and its decision-making processes both at the Department and Management levels. Here, the data has provided a range of responses as well as space for critical voices. It is evident that due to the very recent change processes, there is a mixed level of satisfaction on the impacts of these reforms. This is not unusual in such a transformational change management reform process. From the outside, there is perhaps less knowledge, information or communication on how the reforms are affecting the daily work and effectiveness of the foundation. The results show that while investments are being made to improve the effectiveness of the organisation in a wide range of areas, the implementation and consolidation of the reforms are still in their early stages and it remains challenging to adequately assess their impacts. Here, it is integral that there is additional investment into, for example, the Resources Department to help ensure that they have adequate training and capacity to support the implementation of new policies and reforms at the corporate level.

62. In terms of the governance of the organisation, there are some questions related to the future role and responsibilities of the Foundation Council and Bureau of the Foundation Council to make the organisation more effective and strategic in its operations. Generally, a more strategic relationship with donors would be fruitful.

63. In terms of financial efficiency, the growth of the organisation begs for further diversification of funds that would help it become less dependent on Swiss core funding. At the same time, the organisation must be cautious not to implement so many different financial mechanisms that could lead to competition between departments instead of coherence.

64. DCAF works hard to be sustainable in its activities through ensuring that local partners receive tailor-made solutions and that their needs and demands are adequately met. Through its reform process, it appears to be planning for a future that is more sustainable, long-term, effective and relevant.

4 Recommendations to DCAF

Recommendations to DCAF Headquarters

Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities

Priority: Short-term

Finding: 6

65. In line with the example of GICHD, an active Advisory Board can support the Centre's strategic direction and programme priorities. The Board could include experts in the fields of SSG/SSR who can act as a sounding board on content-related issues and ideas. It could support; the development of strategies and priorities that speak to the needs of donors, partners, clients and other stakeholders; ensure that DCAF strengths, expertise and human resources capacities are taken into consideration in decision-making processes; provide a space for feedback loops and for testing strategic ideas. (See also recommendation 4).

Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department

Priority: Short-term/on-going

Finding: 8, 9, 14, 16

66. The Director should speed up the process of recruitment of a new Head of Resources Department and ensure that this person has the appropriate resources and capacity to lead the department. In the immediate, short-term, the Head of Resources Department should work with the Director and the Human Resources Unit ensure that Human Resources staff has adequate training to implement the new policy on personal integrity that provides grievance and redress mechanisms to address claims on discrimination and harassment. The Director and the Head of Resources Department should establish corrective action and due process for persons accused of committing harassment and work together with external experts on harassment when appropriate to ensure that all DCAF staff are adequately informed about the policy, their rights and their access to grievance and redress mechanisms. In the medium term the Head of Resources Department should ensure that there is a more equal distribution of tasks between staff and that staff has adequate training to meet upcoming DCAF needs, e.g. on data protection.

Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department

Priority: Medium-term

Finding: 8, 14

67. The Finance Unit also requires investment. This could include the recruitment of a Financial Controller who is not linked to the Divisions and the recruitment of a project accountant or controller who

can support the Divisions. The department should also establish a policy on financial reserves as a foundation to help ensure that any core funding cuts do not lead to an organisational crisis.

Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Priority: Medium-term

Finding: 4, 6

68. The Centre should continue to develop its engagement with the Foundation Council and Bureau, including strategic consultations to move beyond one-way communication that opens avenues for fundraising opportunities and improves interaction on substantive activities. The Departments and Divisions can do more to support and share the analysis of donor needs to facilitate fundraising. This could be done within the potential new advisory board, or through an allocated focal point with the responsibility to collect and analyse data. The analysis could be integrated into the RBM system and should be designed to help with strategic fundraising processes and donor outreach. This should support DCAF to establish more proactive analysis of donor needs, strategies and trends and move away from simply a reactive approach.

Appendix I List of Findings

- Finding 1: DCAF is at the forefront of the SSG/SSR market and has a strong, credible reputation. The Centre's name may be an obstacle to further growth (EQ1.1, 1.3)
- Finding 2: DCAF has relevant experience working in fragile and conflict contexts but could further invest in its conflict sensitive approach and ensure coherence across divisions and projects (EQ1.1, 1.3)
- Finding 3: While Gender and Security has become an increasingly important thematic area, there is work to be done to ensure staff gender diversity at the management level (EQ1.5)
- Finding 4: While DCAF has refined its strategic priorities and focus, there is a potential to use donors, the Foundation Council and Bureau in a more strategic way (EQ1.1, 1.2, 1.8)
- Finding 5: DCAF has used its position within the Maison de la Paix (MdP) to promote more synergies with the other Centres (EQ1.4)
- Finding 6: The capacity of the Foundation Council and the Bureau require further clarification to ensure effective strategic oversight (EQ 2.3)
- Finding 7: The strategic development process was key to helping the Centre sharpen its focus, set its key priorities and communicate its thematic and regional strategies (EQ2.1)
- Finding 8: DCAF's institutional reform process launched on 1 January 2017 has been a ground-breaking experience but it is too early to assess the impact (EQ2.1, 2.3.2)
- Finding 9: DCAF staff have a mixed level of satisfaction with the institutional reform process (EQ2.1, 2.3.2, 2.4)
- Finding 10: The newly established Results-based management (RBM) process is a well-integrated yet complex system of analysis to measure DCAF outcomes (EQ2.2)
- Finding 11: DCAF's first Performance Report 2016 shows important progress in monitoring results and achieving outcomes (EQ2.2)
- Finding 12: DCAF has increased collaboration with the United Nations and is positioning SSR in the SDGs Agenda 2030 (EQ2.8)
- Finding 13: DCAF has met the threshold for diversifying its funding sources (EQ 3.1)
- Finding 14: The Centre has outgrown the current capacities of the Financial and Human Resources Units (EQ3.2)
- Finding 15: The investment in tailor-made solutions for local partners, donors and stakeholders helps to ensure sustainability of their interventions (EQ4.1)
- Finding 16: While there is room for improvement in the monitoring of results, DCAF invests in developing trainings, products and services that help ensure long-term sustainability (EQ4.1)

Appendix II List of Recommendations

Summary recommendations to DCAF Headquarters

- Recommendation 1: The Director and Directing Board and Heads of Divisions should set up a small, strategic DCAF advisory board or re-evaluate the role of the Foundation Council and the Bureau to help guide DCAF strategies and priorities
- Recommendation 2: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department
- Recommendation 3: The Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Finance Unit within the Resources Department
- Recommendation 4: The Director, Directing Board and Fundraising Officers should use the Foundation Council and Bureau of the Foundation Council more effectively for fundraising and raising awareness and the Departments and Divisions should systematically analyse and report donor needs and demands to the Directing Board through the RBM structures

Appendix III DCAF Organigrams

69. The following DCAF organigrams show the change in the organisational structure. Figure iii.1 shows that from 2014-2016 and Figure iii.2 shows the new structure as put forth through the institutional reform process from 1 January 2017.

Figure iii.1 DCAF organisational structure 2014 to mid-2016

DCAF Organisational Chart, 2015

Annex 3

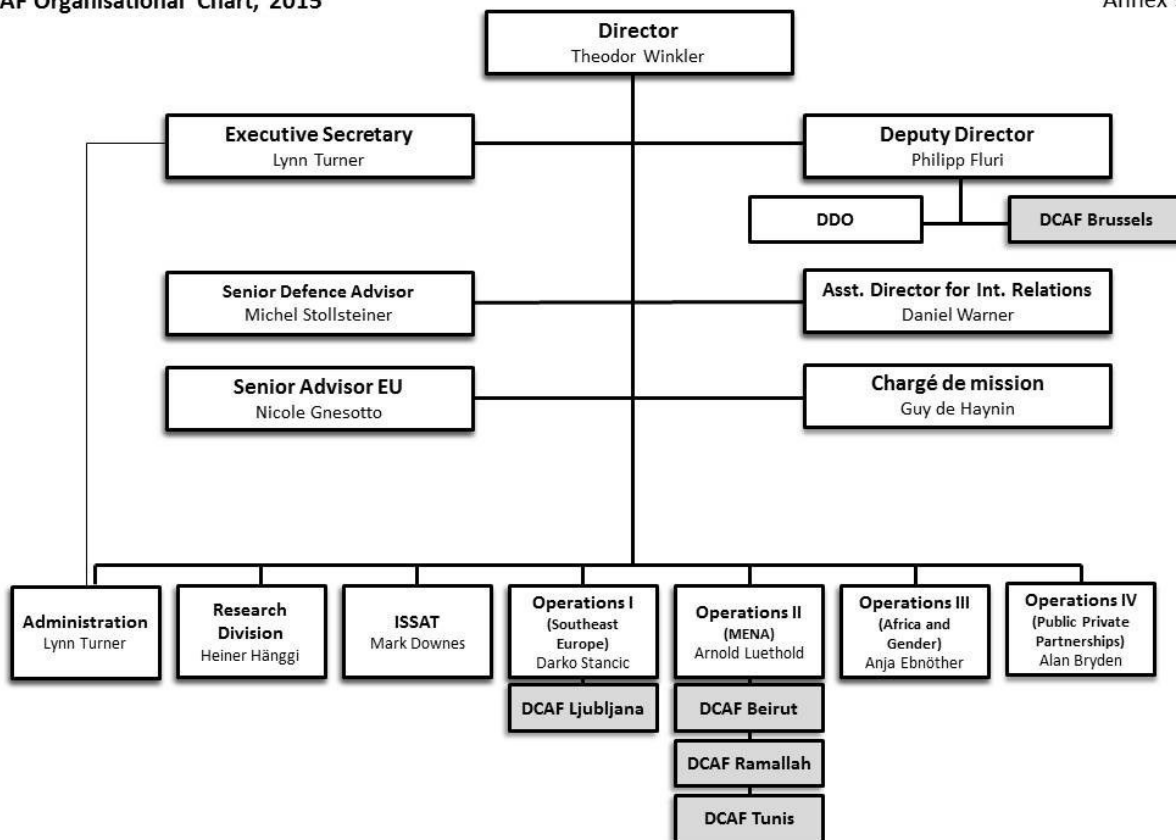
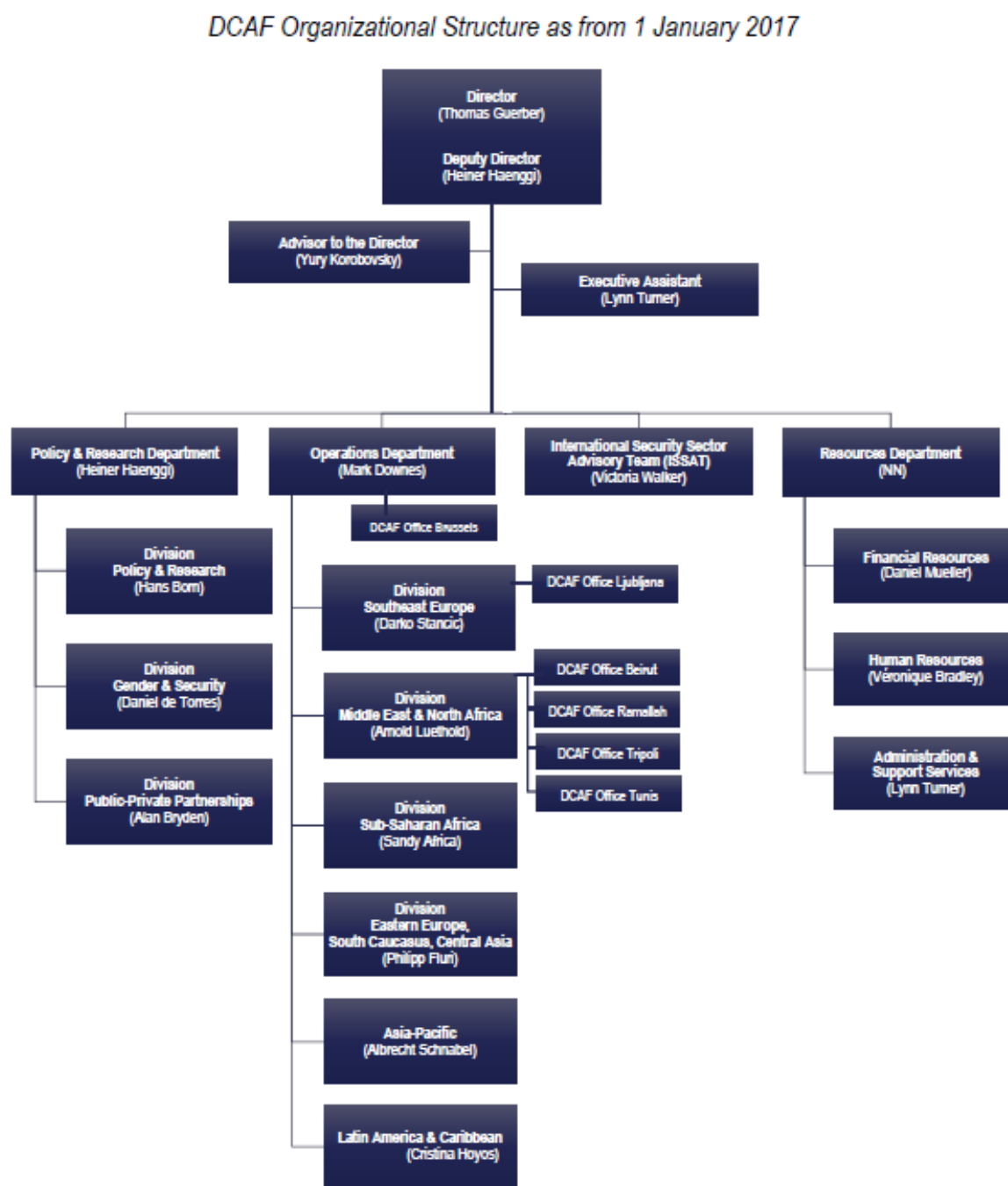


Figure iii.2 DCAF organisational structure from 1 January 2017

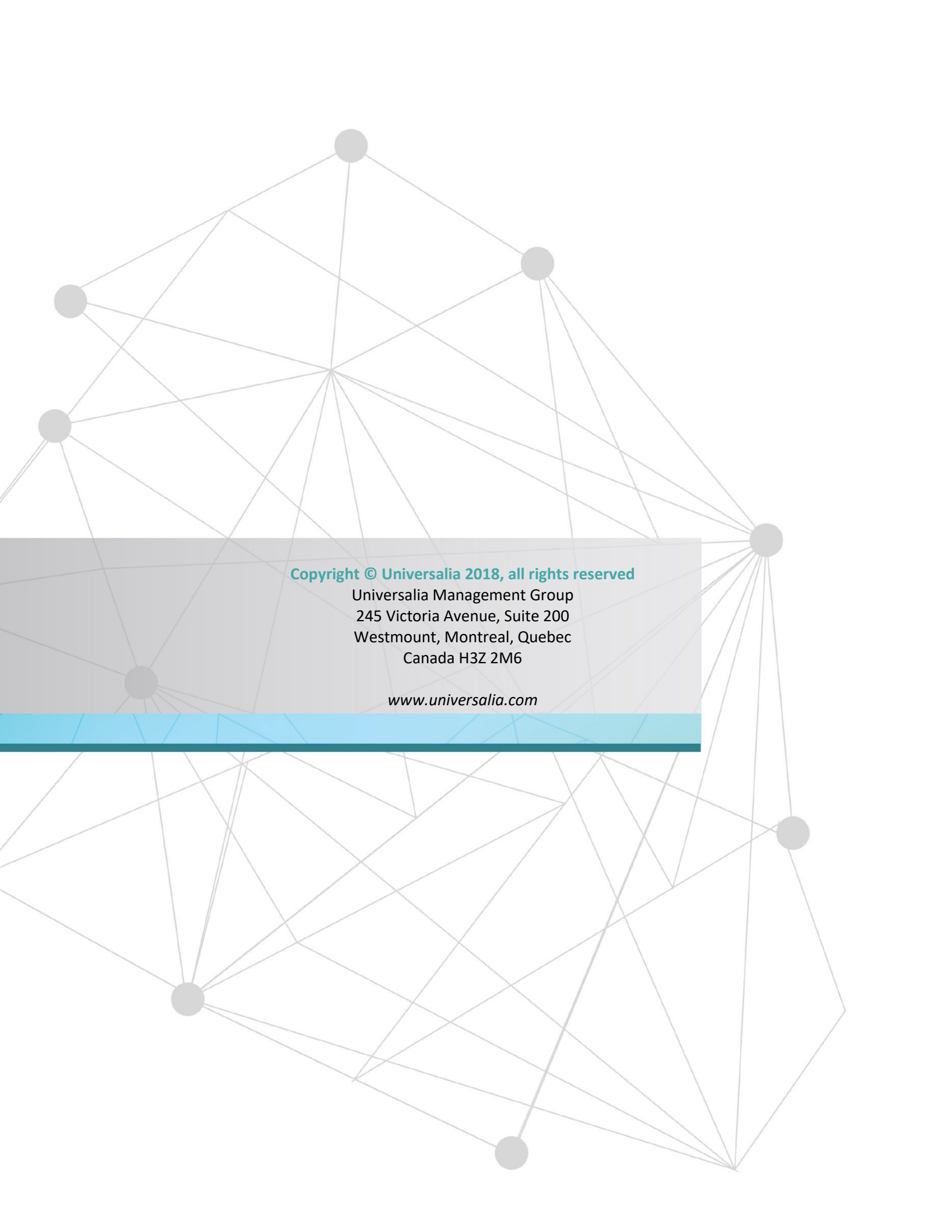


External evaluation of the Geneva Centres

Volume 3: Geneva Centre for Security Policy (GCSP)

FINAL REPORT | MAY 2018





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Executive Summary

This evaluation report forms part of the External Evaluation of the three Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes the Swiss support to the Centres. It presents the main findings for the Geneva Centre for Security Policy (GCSP).

Relevance

GCSP is a highly respected institute in a context where international security issues have become an expanding and interlinked area of study and where competition for funds, audiences and influence intensifies between organisations focusing on executive training in international affairs. The Centre enjoys a positive reputation in Switzerland and internationally amongst its staff, associate experts, alumni, and related international organisations. The respect for the Centre is driven by three reinforcing characteristics: the expertise of GCSP staff, the network and international role of the Centre, and by its innovation in teaching and responsiveness to stakeholder needs. GCSP is strategically aligned with Swiss international security policy through its thematic areas; it is compatible with Swiss national security policies and priorities as highlighted in the 2016 – 2019 Federal Dispatch, through its support to the Swiss military and the strong Swiss presence within the Centre.

Being based at the Maison de la Paix (MdP) has positively impacted GCSP, allowing it to be more active in the International Geneva community, presenting more opportunities for collaboration with other organisations, and providing a positive and more efficient location for staff by streamlining utilities across the three Geneva Centres. GCSP is on-track to meeting the goal of having the centre “recognised as a centre of expertise on gender and inclusive security policy”. Action towards gender considerations at

GCSP are leadership-driven, policy-enforced and recognised both internally and externally.

GCSP has been effective in positioning itself as a leader in dynamic, client-driven executive education. The services and training provided by GCSP are considered enterprising, appropriate, and meeting the needs of clients. GCSP’s new 2014-2020 strategic orientations, compared with its original statute, show an evolution with a new focus on Executive Education, with specific topics in international security and courses on professional skills such as leadership and crisis management. New audiences beyond the traditional civil servant, diplomatic and military clientele are targeted, with new approaches. The strategic shift poses some challenges to GCSP’s ability to systematically analyse the competitive environment, maintain relationships with traditional (public sector) customers, monitor trends in executive education, understand the needs of potential audiences, follow and build upon donor’s strategies.

Effectiveness

The Foundation Council’s oversight of GCSP’s finances and its input into the development and implementation of the Centres’ strategy is modest. Council members do not provide significant financial support to the Centre. Excluding in-kind contributions, in 2017 their contributions represented 2.4% of GCSP’s funding. The Council also lacks expertise that could substantively support GCSP’s new strategic direction - there are no representatives or experts from sectors vital to the development of the Centre.

The Centre has come through a significant reform process between 2013 and 2015. The appointment of a new Director led to transformational changes in the management of the Centre in terms of its organisational

structure and approach. Staff is generally positive about the changes, suggesting that the organisational reforms have been accepted and are being consolidated. There are still a number of areas in which improvements can be made, particularly in the wake of the Centres' recent rapid growth: the need to consolidate the gains made and to continue to focus and ensure the quality of the Centres' services in parallel with their growth.

GCSP has progressively introduced the basic elements of a Results-based management (RBM) process. However, new tools were not yet systematically used or fully integrated in a structured process. The monitoring of courses is undertaken through a feedback process for participants that have an impact on course delivery, with evidence of adaptations being made in light of course feedback. There is little evidence that GCSP undertakes any overall synthesis or comparison in participant evaluations at different moments or evaluate the sustainability of long term behavioural change.

Since the reforms, the Centre has focused on Executive Education in international peace and security issues, concentrating on courses that could be scaled and offered to different types of clients, reaching beyond the traditional audiences and including participants from diverse disciplines and backgrounds who would be willing to pay to participate. Notably, the Centre has more than doubled the number of courses it has delivered and increased the number of fee-paying courses. The remarkable intensification of the course syllabus has left staff at the operational level concerned about their capacity to balance the management of quality across all courses with the quantity of courses, as well as their capacity to continue to nurture their traditional clients with the need to reach out to new ones.

Since 2014, the alumni network expanded, diversified and strengthened GCSP's regional and online outreach, generating increasing alumni engagement with the Centre beyond the provision of courses. The alumni network

represents an important means for GCSP to continue to grow and develop its reputation and requires only modest funding in comparison to other tools. In 2015, the Centre created the Global Fellow Initiative (GFI), an innovative platform with the objectives to serve as an incubator for selected experts' projects; to create a multidisciplinary, multicultural and multigenerational network of experts, researchers, and professionals; to provide the Centre with in-house expertise at relatively lower costs. Since its creation, there have been 152 fellows and the GFI has incubated seven projects, including innovative programs. If it is generating growing interest, it is desirable to actively value and promote the results of the Fellows' work.

In addition to the focus on Executive Education, the Centre has a large number of outputs. The number of events and dialogue opportunities organised has multiplied over the last four years, mainly in Geneva, attracting hundreds of participants. However, there is no evidence of a strategic framework for events or of a promotion strategy or of an analytical synthesis of the participants' comments. The number of research papers and policy analysis published by the Centre remained stable with an increase of editorial and media contributions. There is no evidence of a publications strategy, a media strategy, or a promotion strategy for the intellectual production of the Centre. The number of publications' citations is not monitored.

GCSP has developed its Resource Mobilisation and Marketing (RMM) capacity and has seen significant results in shaping visibility, customer relationships and client engagement. A newly introduced Customer Relationship Management (CRM) tool has currently 15,000 active contacts that are solicited on a regular basis. The RMM department has also developed other tools, has more focused on digital communications and the Centre invested in a large-scale advertising campaign. Some of these efforts have already borne fruit, with a sharp increase in social media followers and a steady increase in website views.

Efficiency

GCSP has succeeded in reaching the minimum share of funds from donors other than the Core FDFA funding (at least 15%) well within the period required. Contributions from other states are still relatively low but additional funding sources include funding from organisations and partners and rents. The Centre has also striven to generate funding from fees charged to certain courses, with a mixed success rate in the first four years - making a loss in 2014 and 2016 and then making small profits in 2015 and 2017.

GCSP has taken significant measures to increase the efficiency of its activities: creating the Global Support Group, an organisational hub that brings together the administrative, logistical and support activities for running the courses and events; improving the administrative efficiency and reducing the running costs of the long courses; reducing personnel costs; reviewing and expanding internal human resources policies. Staff are generally satisfied with the level of efficiency in the use of resources. However, human resources have been put under additional pressure because of the efficiencies combined with the intensification of activities and departments reported that they were becoming overworked and lacked capacity. It is too early in the consolidation of the Centre's reforms to evaluate its positive or negative effects. Consultations with staff showed that there are concerns about how the Centre can maintain a "specialised generalist" perspective so that it can continue to cover a diverse variety of different fields at an adequate depth of expertise.

Sustainability

In terms of Executive Education, several alumni emphasised that participation in a GCSP course was decisive and instrumental for their professional career. However, the Centre lacks relevant tools to assess the sustainability of its activities and does not have Information Management and Archives policies. These two tools are necessary for knowledge management and for contributing to the sustainability of the

Centre data and intellectual production. It would be prudent for the Centre to review the 2014-2020 strategy in 2018 to assess the gains made and make the necessary corrections, adaptations and recommendations to sustain the Centre's momentum and ensure that it has the appropriate level of human and financial resources going forward.

Recommendations

Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre.

Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Recommendation 3: The Senior Management Team should consolidate the implementation of a Results-Based Management process.

Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

Acronyms

CdP	Comité de Pilotage
DCAF	Geneva Centre for the Democratic Control of Armed Forces
DPPS	Federal Department for Defence, Civil Protection and Sport (Switzerland)
FDFA	Federal Department of Foreign Affairs (Switzerland)
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
GCERF	Global Community Engagement and Resilience Fund
GFI	Global Fellowship Initiative
IHEID	Institut de Hautes Études Internationales et du Développement – the Graduate Institute
IO	International organisation
MdP	Maison de la Paix
M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
NATO	North Atlantic Treaty Organization
NGO	Non-Governmental Organisation
OECD-DAC	Organization for Economic Cooperation and Development – Development Assistance Committee
PfP	Partnership for Peace
RBM	Results Based Management
SDC	Swiss Agency for Development Cooperation
SDGs	Sustainable Development Goals
SMT	Senior Management Team

SSG	Security Sector Governance
SSR	Security Sector Reform
StG	Steurgruppe
TJAG	Terrorism Joint Analysis Group
TOR	Terms of Reference
UMG	Universal Management Group

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1 Introduction

1. This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD) and the Geneva Centre for the Democratic Control of Armed Forces (DCAF).
2. The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between 01.07.2014 and 30.06.2017 and supporting learning and the corporate development of the Centres.
3. This volume focuses solely on the findings for the GCSP. For details on the methodology used for the evaluation, or the evaluation's findings on the other Centres, please see Volume 1, 2, and 4 and 5. For the appendices to this evaluation, see Volume 6.

1.1 Context

4. The international system and the security of societies at all levels are changing beyond recognition. Despite global economic growth, in many countries the disruption engendered by the forces of globalisation is causing serious disturbances and worsening inequality and poverty. The imbalances, combined with the consequences of climate change, are causing the migration of thousands of people and, in some societies, political dissatisfaction or anger that are exploited politically. Threats to international security such as armed conflicts, failed states, proliferation of weapons of all kinds, inter-state tensions, terrorism, international organised crime, cybercrime continue to grow and define the conduct of internal and international affairs.
5. The impact of gender and inclusion on international peace and security, both in terms of policy responses and representative decision-making, has become a central issue in international security, sustainable development and resilient peace. The ongoing technological revolution profoundly changes the social fabric and upset rules and regulations. The production, sharing and transmission of knowledge are incessant and are radically changing the practice of teaching institutions. These transformations also provide opportunities – and the need – for innovation in training methodologies.
6. The issues related to international security are no longer the exclusive domain of Ministries of Foreign Affairs' or of Defence experts. They are of interest to a wide range of actors: ministries; international organisations; non-governmental organisations; business corporations; media. Therefore, the issues related to international security have become an expanding and interlinked area of study. Competition for funds, audiences and influence is high between organisations focusing on executive training in international affairs, including governmental and military academies, think tanks, universities, business schools, skill training organisations, profit and non-profit private institutes and NGOs.

The Geneva Centre for Security Policy (GCSP)

7. The GCSP was founded in 1995 as an international Foundation under Swiss law, to "actively promote the construction and maintenance of peace, security and stability in Europe and the world" through training, research and exchanges in international security and European and international cooperation.

8. Created partly as a response to the changing geopolitical landscape following the end of the Soviet Union, the GCSP has been evolving in its work in international security policy and peacebuilding. The focus on the Euro-Atlantic space switched to a global approach and the methods for knowledge transmission evolved towards increased participation, sharing of experience and co-creation models.

9. GCSP has created a community of professionals with a high degree of competence in security affairs sharing a common understanding and approach of world affairs and security. The GCSP can boast nearly 6,200 alumni and a network of over 10,000 people. In 2017, the Centre offered four main training programmes (Leadership, Crisis and Conflict Management; Regional Perspectives; Emerging Security Challenges; Geopolitical and Global Futures) to 1,200 course participants from 165 countries and hosted over 800 guest speakers.

Table 1.1 *GCSP at a glance¹*

	GCSP
Year established	1995
Role	International Security Policy
# of staff	68
# of members in Foundation Council	52
Donors (Country, including Switzerland)	12
Alumni (2017)	6,150
Partners (Clients)	27
Annual budget	CHF 14,018,000

10. The Centre has 68 staff members and an annual budget of CHF 14,018,000 (2017). It receives core funding from the Swiss Federal Department of Foreign Affairs (FDFA) and other contributions by the Swiss Confederation. Swiss Confederation core contributions make up 80% of the Centre's funding. The remaining 20% is sourced from funding from partners (including project funding from Switzerland), other incomes and other donor countries.

11. The GCSP is governed by a Foundation Council composed of 52 representatives of Members States (ambassadors or permanent representatives at the United Nations) including Switzerland, as well as representatives of the Canton of Geneva. The Foundation Council has fiduciary and strategic oversight of the Centre and is administered by a 5-member Bureau, mostly composed of Swiss representatives.

12. The GCSP is the smallest of the three Geneva Centres in terms of budget and staff.

¹ Values are as of 2017 unless otherwise stated.

2 Findings

2.1 Relevance

Finding 1: The Centre has a positive reputation internationally based on the perceived expertise of staff, its convening power and innovative response to needs (EQ1.3)

13. GCSP is a highly respected institute with a strong positive reputation in Switzerland and internationally amongst its staff, associate experts, alumni, and related international organisations (e.g. UN, NATO). The respect for the Centre is driven by three reinforcing characteristics: the expertise of GCSP staff, the network and international role of the Centre, and by its innovation in teaching and responsiveness to stakeholder needs. Regarding the perceived expertise of GCSP staff, 95% of respondents' external to GCSP agreed or strongly agreed that the Centre is effective in providing its' services (e.g. its long and short courses), something echoed by GCSP staff participants during the SWOT workshop. The network at GCSP is consistently seen as a strength of the Centre, reinforced through its' convening and collaboration power rooted in the alumni regional hubs, its network of 800 external experts, and strong relationship with international organisations. GCSP is widely regarded across both internal and external stakeholder groups to be innovative, evolutionary, and original in the services provided. Internally, staff find that the teaching methods and approaches used at GCSP have seen rapid development since 2013; and externally, 93% of survey respondents agree or strongly agree that the Centre's work is aligned to current trends in the field and 81% that the work done by GCSP isn't being provided by other organisations. Innovation at GCSP is largely fostered by the Global Fellowship Initiative (GFI) which has seen 152 fellowships awarded between 2015 and 2017 and is seen as a significant incubator of innovation for GCSP among participants of the SWOT workshops conducted by the evaluation team.

Finding 2: GCSP is strategically aligned with Swiss international policy and the Centre's Framework and annual agreements. It's new strategic direction signals an evolution away from the Centres' original statute (EQ1.2)

14. The evaluation finds GCSP to be strategically aligned with Swiss international security policy through its thematic areas, support to the Swiss military and strong Swiss presence within GCSP. Thematically, GCSP is highly congruent with Swiss national security policies and priorities as highlighted in the 2016 – 2019 Federal Dispatch. GCSP has been found to have a strong mutually beneficial relationship with the Swiss security and defence sectors. The Swiss Confederation provides financial support and expert staff on the Bureau of the Foundation Council, as well as secondary governance oversight mechanisms through the Comité de Pilotage; and in return GCSP provides tailored training to Swiss military and FDFA personnel, the Global Fellowship Initiative Programme is open to military officers and civilian experts and supports international collaboration and convening between the Swiss Confederation and other militaries.

15. The Swiss government has a strong presence within GCSP, which aids this level of connectivity through several instruments, namely through: i) having special arrangements with the FC and Bureau, Switzerland can appoint more than one representative in the FC and propose the chairperson; ii) policy

and approaches of GCSP guided by the four-year Framework Agreement; iii) providing a majority of core funding to GCSP; and iv) providing annual service agreements.

16. Although thematically and politically aligned, there was some concern among Swiss officials regarding a lack of alignment between Swiss Federal Dispatch legislative periods (2012-2015; 2016 -2019) and GCSP strategic development (2016-2019). This difference was found to cause budgetary misalignment, which according to the FDFA is administratively burdensome. However, the evaluation team found that the GCSP had not been informed of this issue and reported it was willing to remedy the issue, which suggests that the issues in timing are minor.

17. GCSP's new 2014-2020 strategic orientations, compared with its original statute, signals an evolution into a different direction, with a new focus on Executive Education to new audiences beyond its traditional civil servant, diplomatic and military clientele and with new approaches. In the consolidation of the change process and establishing a firm platform and mandate for the Centre going forward, it may be useful for GCSP and Switzerland to revisit and update the Centre's original statute to adapt it to the Centre's new orientation.

Table 2.1 *GCSP original statutes and current evolution of strategic orientation*

GCSP STATUTES (1995)	GCSP STRATEGIC ORIENTATIONS (2014-2020)
Organise training courses for public servants, diplomats and military personnel	A world's Leading Executive Education Centre in international security, peace and foreign policy for government; military; international organisations; civil society; corporate Executive education: 70%
Promote research on relevant topics in terms of international security, stability and peace in Europe and worldwide	Provision of policy analysis 10%
Organise conferences, workshops and other events intended for exchanges on issues related to European and international security and cooperation	Provision of dialogue opportunities 20 %

Finding 3: **The Centre's 2014-2020 strategic map has had positive results but could continue to strengthen analysis of key topics for corporate development (EQ1.1, 2.1)**

18. GCSP has been effective in positioning itself as a leader in dynamic, client-driven executive education. The evaluation team has found that the services and training provided by GCSP are enterprising, appropriate, and meet the needs of clients; however, this strategic change is perceived by some staff as having the potential to neglect the Centre's traditional clients and move away from the original mandate of the Centre in terms of research outputs and developing dialogue opportunities. The Centre's increased focus on training has seen the selection of courses become increasingly diversified throughout the evaluation period, focusing on specific topics in international security (e.g. the 8-month *Leadership in International Security Course*) and adding courses on professional skills such as leadership, crisis management, and strategic foresight. The internal survey found that 84% of respondents agreed or strongly agreed that the services offered by GCSP are dynamic, appropriate and competitive, while

another 92% agree or strongly agree that the training methods provided are meeting the needs of civilian and military clientele and 88% of external stakeholders agree or strongly agree that GCSP responds to their needs.

19. The strategic shift also poses some challenges to GCSP's ability to systematically analyse the competitive environment, maintain relationships with traditional (public sector) customers, monitor trends in executive education, understand the needs of potential audiences, and follow and build upon donor's strategies. The Centre reports that competition analysis has been strengthened after an audit undertaken by Deloitte, with a weekly competition analysis exercise and 'horizon scanning' briefing. The Centre's 2014-2020 strategic map lays out a competition diagram with 29 institutions divided into seven categories describing the names of competitors working in the space of executive education. However, the evaluation team did not see detailed data from these exercises and heard from stakeholders in both the internal survey and the SWOT workshop that the Centre could further strengthen its competition analysis and monitoring, as well as a definition and analysis of potential targeted audiences' needs and to adapt the corporate development accordingly.

Finding 4: Through the move to *Maison de la Paix*, GCSP has actively developed capacities and measures to raise its profile and develop stakeholder engagement (EQ1.4)

20. Being based at the Maison de la Paix (MdP) has positively impacted GCSP, allowing it to be more active in the International Geneva community, presenting more opportunities for collaboration with other organisations, and providing a positive and more efficient location for staff by streamlining utilities across the three Geneva Centres. Since the move, GCSP has established seven new partnerships in Geneva: Caux-Initiative of Change, Hospice General, IOM, Gavi, PeaceNexus, OCHA, Investment Strategists Association (ISAG), German Mission and Swiss Mission to the United Nations. This growth is further reinforced through the Centre's involvement in the Geneva peacebuilding platform, a joint project developed in part by GCSP, which has over 2,500 peacebuilding professionals and 60 institutions working in peacebuilding. A majority (92%) of internal survey respondents agree or strongly agree that since the move to MdP and the increased engagement in Geneva and that it had helped to raise GCSP's profile, while 77% of respondents agree or strongly agree that GCSP has a clearly defined profile. The Centre also works closer with the Graduate Institute of International and Development Studies (IHEID), which was identified by staff in the SWOT workshops and interviews as both a partner and as potential competition in the field of Executive Education, although GCSP specialises in executive leadership programming.

21. Being located with GICHD and DCAF at the MdP has also provided an array of benefits to GCSP, including streamlining IT costs and infrastructure, facilitating contact and engagement between Centre staff, and promoting exchanges that sometimes lead to common intra-Centre projects. Interviewees conclude that being able to draw upon expert knowledge from GICHD and DCAF for its courses has been invaluable.

Finding 5: The Centre takes gender consideration into account in its trainings and activities (EQ1.5)

22. GCSP is on-track to meeting its 2019 Gender and Inclusive Security Cluster goal of having the centre "recognised as a centre of expertise on gender and inclusive security policy" that "takes an 'ecosystem' approach to gender and inclusion, fosters international cooperation, and drives greater connection between local communities and the global policy making community."² Action towards gender

² LCCM Cluster Strategy: Gender and Inclusive Security. 2017.

considerations at GCSP are leadership-driven, policy-enforced and recognised both internally and externally. GCSP Director, Christian Dussey has been an “International Geneva Gender Champion” since 2015 and has promoted the Centre’s role in the MDP Gender and Diversity Hub. Evidence of concrete investment towards implementing gender policy at GCSP is seen in the creation of a new course in gender and leadership (*Leading Inclusive Teams*) and the continuation of others that have been in place for three years. Additionally, course directors of all three GCSP long courses have implemented gender mainstreaming into programming through recruitment, content, and aiming for gender-equitable teaching. Best gender practices are implemented through policy, such as a gender pay equity policy and ensuring all employment Terms of Reference include gender considerations, as well through course development. These policies have been positively received: internal (97%) and external (88%) stakeholders agree or strongly agree that GCSP takes gender into account in its programming and activities.

2.2 Effectiveness

Finding 6: The Foundation Council would benefit from additional expertise to provide meaningful fiduciary and strategic support and oversight to the Centre (EQ2.3 and 2.4)

23. The Foundation Council is composed of representatives of Members States (ambassadors or permanent representatives at the United Nations), including Switzerland, as well as a President who does not represent a member state and two representatives of the Canton of Geneva. Initially, this composition of governance was linked to the three main audiences for GCSP, as defined in the Centre’s statutes. The Council has 52 members and the global outreach of the Council is considered a significant asset by the Centre. During the evaluation period, seven new members joined the governing body: Australia (2015); Canada (2016); Japan (2017); Mongolia (2014); Pakistan (2016); Senegal (2015); Sri Lanka (2016). The Council is administered by a five-person Bureau, of which three are Swiss: two FDFA representatives (Ambassadors and one representative from the Canton of Geneva). There were no adjustments to the governance structure during the evaluation period. There are no statutory term limits on the role of the President, who will have held office for 20 years when he steps down in 2018.

24. The data suggests that the Council’s oversight of GCSP’s finances and its input into the development and implementation of the Centres’ strategy is modest. Fiduciary oversight is meant to be provided by the Council and its Bureau but none of the members have the requisite skills to meaningfully hold the management to account on financial matters. The minutes of Council meetings suggest that members support and confirm GCSP’s strategic direction but do not provide substantive strategic support to the Director or Senior Management Team. During the SWOT exercises, both management-level and operational-level staff recognised that Foundation Council members had moderate engagement with the Centre’s strategic orientation, its activities and its fundraising. Measures have been taken to strengthen the relationship between the Centre and its governing body, including the development of Foundation Council relationship management, events that brief Council members on specific issues, visits from the GCSP director and the creation of the Global Scholarship Fund, which allows Council members to promote the participation of nations from countries with limited financial resources. The Council approves the annual budget in November and the audited financial statement in April/May but there is little evidence of standardised reporting mechanisms, which would facilitate oversight.

25. Nor do Council members provide significant financial support to the Centre. Excluding in-kind contributions, Council members' contributions to GCSP is modest, representing in 2017 just 2.4% of GCSP's funding. In some cases, the members do provide scholarships for course participants, including China, Estonia, Latvia, and Switzerland. Others second senior staff and/or officers, with six countries consistently seconding staff over the evaluation period (Belgium, Finland, France, Germany, Switzerland and USA). Sweden also funds part of an expert post at the Centre.

26. The Council lacks expertise that could substantively support GCSP's new strategic direction. There are no representatives or experts from sectors vital to the development of the Centre, such as executive education, academia, business development, marketing, fundraising or communications. An Advisory Board could fill this role, as we discuss in our recommendations.

Finding 7: Management reform has seen positive progress, yet challenges remain. (EQ 2.3.2)

27. The Centre has come through a management reform process between 2013 and 2015. The appointment of a new Director led to notable changes in the management of the Centre in terms of its organisational structure and approach. The Senior Executive Team is made up of the Director, Deputy Director and Chief Operating Officer. The position of Deputy Director has changed somewhat over the evaluation period in that it no longer has responsibilities equivalent to that of an Academic Dean but now encompasses all the activities related to executive education. The staff is then split into four programmes, made up of 18 thematic clusters, following a reform in the management of long courses in 2014 and the launch of new short courses in 2015. Five administrative departments support the operations, including Finance, Information and Communications Technology, a recently created Resources Mobilisation and Marketing team and another new team called the Global Support Group that coordinates all logistic and administrative support for the programme teams' activities. Finally, there are three other cells under the responsibility of the SET: Alumni Affairs, the Global Fellowship Initiative and Terrorism and Joint Analysis Group (T-JAG).

28. The clusters develop and deliver courses and are encouraged to be entrepreneurial and innovative in the development of new courses for new clients. Cluster leaders have a level of independence in that they set their own fundraising objectives, develop their own fundraising strategies, research and identify the needs of stakeholders and trends in their area of expertise and ensure the quality of the content of the courses.

29. Consultations with staff demonstrated that overall there is a high level of satisfaction with the new management structure and the level of independence programmes and their clusters have for developing course content. A large majority of staff are satisfied with the management structures (17% strongly agree and 57% agree) and believe that the Centre has a clear strategic direction (30% strongly agree, 52% agree). Staff is generally positive about the changes, suggesting that the organisational reforms have been accepted and are being consolidated. Management processes are clear, with general satisfaction on the guidelines and policies (74% agree or strongly agree) and the delegation of authority (77% agree or strongly agree).

30. There are a number of areas in which improvements can be made, particularly in the wake of the Centres' recent rapid growth. The main themes that arose from consultations with staff were:

- The need for management to work on consolidating the gains made
- The need for management to continue to focus and ensure the quality of the Centres' services in parallel with their growth.

31. Staff wanted more comprehensive evaluations of the available resources, more long-term planning and improved project management capacities. The consensus heard by the evaluation team was that the pace of change should ensure that the quality of GCSP's services was guaranteed. The key message was that this was a potential threat in the future given the rapid changes and that should be monitored closely.

Finding 8: The Centre does not have a fully integrated Results-Based Management process. Those monitoring mechanisms that are in place do support course adaptations and improvements but do not consider the measurement of long term outcomes (EQ2.2)

32. The evaluation team understands that measuring the long-term impact of the core activities of GCSP – training, awareness raising and policy analysis – is difficult. GCSP has progressively introduced the basic elements of a Results-based management (RBM) process, with the development of its Vision 2020 in 2014 and strategy map 2014. These include the creation of business score cards and meeting report cards, weekly 'horizon scanning' and lessons learnt briefings, the development of Key Performance Indicators (KPI) in 2016 and a model for a monthly KPI dashboard with statistics and analytics launched in 2017, as well as a Monthly report on past and coming activities initiated by the Director in January 2017. However, the evaluation team did not see evidence that these tools were systematically used or fully integrated in a structured RBM process. For instance, the results collected have not been synthesised and analysed in a comprehensive way to produce an overview of the Centre's key outcomes. The documentation list for this evaluation demonstrates the scattered nature of reporting. There is no evidence of standardised reporting, with the presentation of objectives and outputs of strategy implementation in different formats and limited evidence of systematic follow up.

33. In 2016 and 2017, the Centre was granted the EduQua certification, a Swiss quality label geared towards adult continuing education with around 1,000 Swiss institutions certified, providing an important assurance of the quality of the Centre's programming. The monitoring of courses is undertaken through a feedback process for participants. Immediate post-course feedback and additional feedback after three months is collected online through SurveyMonkey. There is ad hoc analysis of participant's comments for most courses and a review process and debriefing for long courses. This review process does have an impact on course delivery, with evidence of adaptations being made in light of course feedback. A majority of staff responding to the survey agreed (54%) or strongly agreed (30%) that lessons learned were regularly incorporated into their work. However, there is little evidence that GCSP undertakes any overall synthesis or comparison in participant evaluations at different moments (before, immediately after and three months after) during the evaluation period. Finally, good practice for course evaluations suggest collecting feedback at a year after participation in a course to evaluate the sustainability of long term behavioural change, which is not currently done at GCSP.

Finding 9: The Centre has substantially increased the number of courses it delivers, with a growth in focus on fee-paying courses. Satisfaction with courses is positive but staff are concerned about guaranteeing quality in the future (EQ2.5 and 2.6)

34. In tandem with the reforms to the Centre's organisational structure, GCSP has undergone a transformation in its approach to its activities. The change of leadership in 2013 was a catalyst for these changes. During the evaluation period, the Centre had three core orientations: Education and training, policy analysis and dialogue. The majority of the focus of the Centre has been on executive education in international peace and security issues, concentrating on courses that could be scaled and offered to different types of clients, reaching beyond the Centre's traditional participants (diplomats, military officials, government representatives) and including participants from diverse disciplines and

backgrounds who would be willing to pay to participate. Stakeholders noted how the Centre had pivoted towards a business development rather than academic approach, with investments in tools to look after customer relations and a new focus on marketing.

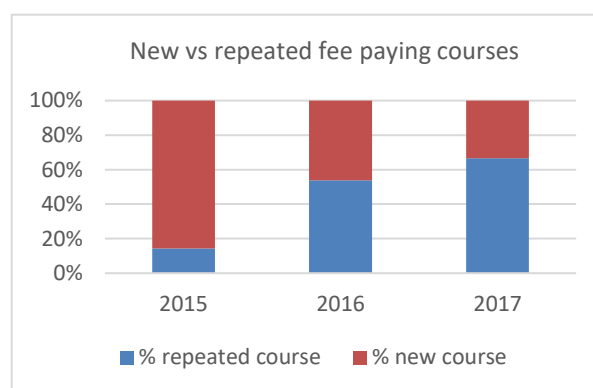
35. The Centre has more than doubled the number of courses it has delivered during the evaluation period. This includes an impressive increase in the number of fee-paying courses, a new sector for the Centre. Cluster leaders are encouraged to be entrepreneurial in the development of new courses to respond to the needs of potential clients. In addition, some fee-paying courses did not receive the anticipated interest from potential participants and were cancelled or filled with non-paying participants, such as staff or fellows. Convincing participants to pay for courses will require continued effort. A study by the Resource Mobilization and Marketing Department found that the high living costs in Geneva found that on average, participants would save CHF 2'250 and two days travel time if they took a locally held course over one held in Geneva (GCSP Growth and Funding Strategy Proposal).

36. The potential for increased numbers of participants remains, however, with a majority of staff agreeing (33%) or strongly agreeing (65%) that the Centre has extended its circle of potential clients. Table 2.2 below provides a summary of the increases in the number of courses and participants. However, the evaluation team would like to underline that they have not received consolidated data from GCSP and that some documents provide alternative numbers.

Table 2.2 *Growth in courses at GCSP*

	2014	2015	2016	2017
Number of courses	30	40	60	81
Number of fee-paying courses	3	14	26	26
Number of participants	718	829	1100	1264

Source: GCSP annual reports. Fee paying courses sourced from spreadsheet provided by GCSP.



37. Feedback on courses from participants show a high satisfaction rate, with at least 4 out of 5 on course components such as delivery, relevance, meeting of expectations, and whether the participant felt that their capacity had improved. For instance, a 2017 external evaluation commanded by the FDFA of the *Senior Level Course on Peacebuilding, Enhancing Leadership*, organised by GCSP since 2009, concluded that the course had met its objectives from year to year and that the course was considered very good and unique with regards to its methodology (peer-to-peer). The course was appreciated by almost all participants and for a very high number the course was reported to have had an impact on their professional life. External stakeholders responding to the evaluation survey noted that the courses focused on Western perspectives at the expense of more diverse global outlooks.

38. During the SWOT workshops, staff at the operational level highlighted concerns that the pace of change had the potential to undermine the quality of the services they delivered, identifying this as a potential threat to the Centre going forward. The SWOT discussions suggested that staff at the operational level were concerned about their capacity to balance the management of quality across all courses with the intensification of the course syllabus, as well as their capacity to continue to nurture their traditional clients with the need to reach out to new ones. While staff did not believe that they had yet seen any negative impact on course quality, they were cautious about the future and wanted to take time to consolidate the gains made during the recent reforms. These concerns were echoed in interviews with key informants internal and external to the Centre.

Finding 10: The Centre's Alumni network has expanded, diversified and strengthened, generating increasing alumni engagement with the Centre beyond the provision of courses (EQ2.5 and 2.6)

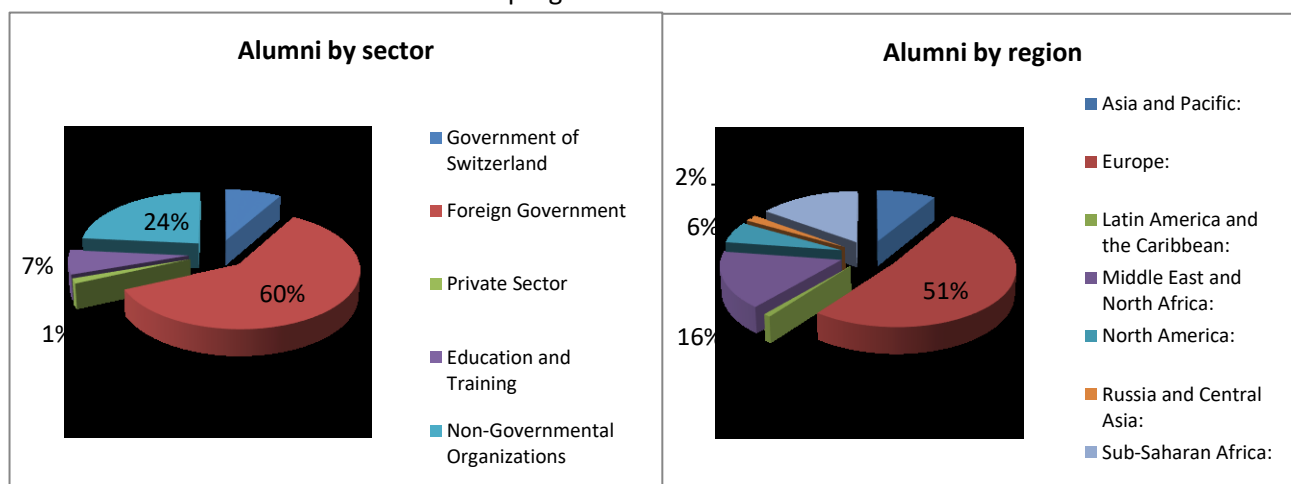
39. Since 2014, the alumni network expanded and strengthened GCSP's regional and online outreach. A new online Alumni Portal provides alumni with the opportunity to stay in touch with the Centre and each other and to contribute to GCSP's work. The Centre also launched a Global Alumni Networking Night in 2017, during which alumni met up in 17 locations across the globe on the same evening to network and create a sense of a global community and has developed guidelines and promotional material for regional alumni Hubs. Table 2.3 below presents the development of the alumni network, based on the available data.

Table 2.3 Development of the alumni network

ALUMNI NETWORK DETAILS	2014	2017
Total number of alumni members	4,058	6,150
Number of nationalities represented	139	165
Total number of online users of the alumni portal	260	2, 286*
Number of alumni guest speakers	11	127
Number of alumni returning to a course	439**	668*
Number of alumni Hubs internationally	1	5
Number of regional alumni events and conferences	5	26

Sources: GCSP Alumni Affairs, Alumni Strategy 2017-2020, Tables Alumni 2014-2017 provided by GCSP Alumni affairs *figures for 2016; ** figures for 2015

40. The alumni network represents an important means for GCSP to continue to grow and develop its reputation and requires only modest funding in comparison to other tools. The support of the network to accompany the development of the Centre's activities is included in the alumni affairs strategy 2017-2020 that aims "to establish a sustainable programme which will benefit both alumni and the GCSP". For



Source: GCSP Alumni Affairs, Alumni Strategy 2017-2020, Tables Alumni 2014-2017 provided by GCSP Alumni affairs

Finding 11: The innovative Global Fellowship Initiative arouses growing interest (EQ2.5, 2.6.1)

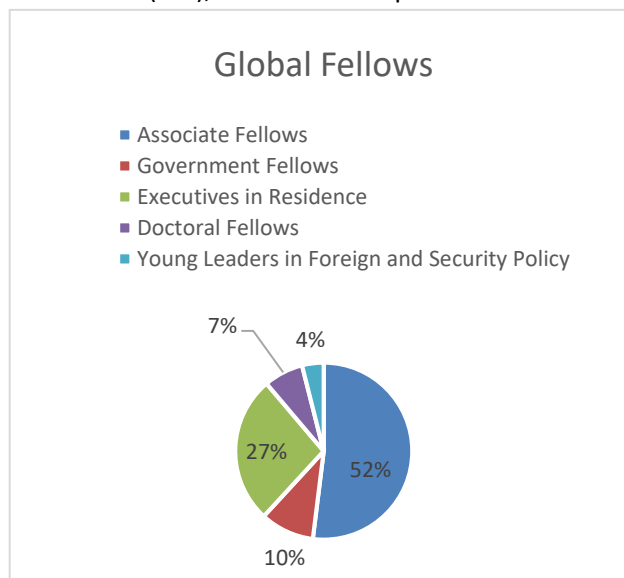
41. In 2015, the Centre created the Global Fellow Initiative (GFI), an innovative platform with three objectives:

- 1) Foster innovation and entrepreneurship as an incubator for selected experts' projects
- 2) Create a multidisciplinary, multicultural and multigenerational network of experts/researchers/professionals in an individual setting or in partnership with institutions/organisations (see figure for types of fellows that make up the GFI)
- 3) Provide the Centre with in-house and dynamic expertise and at relatively lower costs.

42. There are five types of fellowships, targeted at different levels of professionals with different types of experience and needs. Between the establishment of the initiative and 2017, there have been 152 fellows. 29% of GFI participants are female, suggesting that more needs to be done to attract female fellows. The GFI is generating growing interest: in 2017, GCSP received 400 applications for all categories of fellowships.

43. The GFI benefits both the fellows themselves and GCSP. In 2017, 36 fellows ran 105 course modules. Fellow participate in or organise dialogue activities, develop research activities, advise on strategic decisions and share network contacts. They also assist in some fundraising, marketing and communications activities, participating in media interviews and supporting the growth of GCSP's international reputation. In return, fellows gain access to GCSP's courses, events (both public and closed meetings) and network. They can affiliate with programmes and clusters and promote their own work on the Centre's website and social media platforms. They also have access to "Fellows' Briefings" where they engage with other members of the GFI to test out ideas and receive feedback. The GFI has incubated seven projects, including innovative programmes considering Media and Arts for Peace, Leadership courses for African Leaders and a project providing people travelling and working in hostile or volatile environments with geo-localised and mapped security information in real time (called Securaxis).

44. The rapid development of the GFI has been impressive. To maintain the growing interest generated, it will be desirable in the coming years to actively value and promote the results of the Fellows' work, in addition to their contributions to the GCSP's activities.



Finding 12: The Centre has increased the number of events it organised, as well as editorials and media contributions, but without having defined a global strategic framework for these activities (EQ 2.6)

45. The Centre has a large number of outputs, in addition to the focus on Executive Education. The evaluation team recognises the challenge presented by measuring the outcomes of activities like events, publications and media outreach. However, the evaluation team did not see substantial evidence of efforts to measure the outcomes of the outputs reported. The number of events and dialogue opportunities organised by the Centre, or jointly with other institutions, has multiplied over the last four

years, mainly in Geneva, attracting hundreds of participants. The events participant's comments have been collected. However, there is no evidence of a strategic framework for events regarding their types, topics and targeted audiences, or of a promotion strategy. There is no evidence of an analytical synthesis neither of the participants' comments nor of other outcomes.

46. The documentation provided by GCSP did not give consolidated numbers for the events held during the evaluation period. Indeed, the numbers changed depending on the documents reviewed, most likely because of different definitions of the term “event”, which does not appear to be the same in each document. The exact categorisation of events aside, the table below shows that the number of events and the number of event participants has increased significantly over the evaluation period.

Table 2.4 *Number of GCSP events over the evaluation period*

	2014	2015	2016	2017 (UNTIL NOV)
#Events	15/37	43/38	105/58	119/67
#Events participants	345	1,602	2,528	2,534

Sources: Annual reports /numbers provided in the updates and presentations of the Director.

47. The number of research papers and policy analysis published by the Centre remained stable with an increase of editorial and media contributions. There is no evidence of a publications strategy, a media strategy, nor a promotion strategy for the intellectual production of the Centre. The number of publications' citations is not monitored.

Finding 13: **GCSP has developed its Resource Mobilisation and Marketing capacity and has seen significant results in shaping visibility, customer relationships and client engagement (EQ2.5, 2.6)**

48. Between 2014 and 2017, GCSP has significantly shifted its approach to how it manages relationships and markets itself to potential course participants, with a view to professionalising the relationship and fostering customers willing to pay for courses, rather than participating for free. In 2014, it introduced a Customer Relationship Management (CRM) tool, Salesforce, to help manage and grow its database of contacts (made up of prospective, current and past course and event participants, as well as staff network contacts and course facilitators). It currently has 15,000 active contacts, 65% of which are based in Europe. These contacts are solicited on a regular basis through mass mailings, with targeted invitations to events and courses and given updates on GCSP's work.

49. GCSP has a strong reputation and staff reported that word of mouth was one of the most common ways that potential course participants hear about the Centre. To bolster its visibility, GCSP has made a clear effort to strengthen its resource mobilisation and marketing (RMM) tools, showing high ambitions for the next phase of its development. In 2016, the Centre produced a holistic RMM Strategy 2016-2020, setting comprehensive objectives to sustain and grow positive brand awareness among key target groups, increase external participation and engagement in GCSP activities and grow and diversify GCSP funding. The RMM department developed new tools, such as a course catalogue, an increased focus on mass mailings, the development of a newsletter and more focus on digital communications, including regular website updates, the development of promotional videos and the use of social media platforms. The Centre also invested in a large-scale advertising campaign with a leading branding and marketing agency, McCann Enterprise, for CHF 161,000.

50. Some of these efforts have already borne fruit, with a sharp increase in social media followers (from 7,636 followers in 2014 to 24,980 in 2017) and a steady increase in website views (199,434 in 2016 to 224,952 in 2017).

2.3 Efficiency

Finding 14: GCSP has succeeded in reaching the minimum share of funds from donors other than the Core FDFA funding defined in the Federal Dispatches well within the period required (EQ3.1)

51. The 2016-2019 credit frameworks required GCSP to diversify its financial resources and seek at least 15% of its revenue from donors other than the Swiss Confederation. GCSP has hovered around this target, see Table 2.5. For a full breakdown, see Appendix III.

Table 2.5 *Share of funding by Swiss Confederation vs other sources*

CHF = % of total income	2014	2015	2016	2017
Swiss Confederation contribution (core and project)	82%	86%	87%	84%
Swiss Core funding only	72%	75%	80%	77%
Total other contributions	28%	26%	20%	23%

Source: All numbers for 2014, 2015 and 2016 sourced from audited financial reports. 2017 source: GCSP Spreadsheet "Income Year to 31.12.17".

52. The evaluation team found that there was a need to clarify the Swiss Confederation's threshold limits: GCSP receives both core and significant project funding. The calculations above are made on the assumption that the Swiss Confederation is interested in funding other than that from Swiss authorities. Contributions from other states are relatively low, falling from 6% in 2014 to 1% in 2016, due to the planned end of short-term project contributions from USA between 2014 and 2015 (in 2015 it was CHF 560,714, according to GCSP financial statements) to the Global Community Engagement and Resilience Fund (GCERF). This initiative received financial support through GCSP from different countries, including USA, and became autonomous in late 2015. Meanwhile, funding has mostly been to specific projects rather than to support core Centre activities. Additional funding sources include funding from organisations and partners, rents and fees from participants in the new fee-paying courses.

53. The Centre has striven to generate funding from fees charged to certain courses. This has had a mixed success rate in the first four years, making a loss in 2014 and 2016 and then making small profits in 2015 and 2017. Table 2.6 below provides details.

Table 2.6 *Fees and profit from fee-paying courses*

YEAR	NUMBER OF COURSES	FEES	OTHER FUNDING	COST	NET
2014	3	9,969	56,356	66,815	-490

YEAR	NUMBER OF COURSES	FEES	OTHER FUNDING	COST	NET
2015	14	147,866	56,364	176,689	27,541
2016	26	184,767	85,053	289,899	-20,079
2017	26	184'767	151'584	337'552	7'098

Source: spreadsheet provided by GCSP and comments provided by GCSP.

Finding 15: The Centre has improved administrative efficiency while significantly increasing its activities with the same number of staff. However, there is evidence that human resources are under pressure as a result (EQ3.2.1, EQ3.2.2)

54. The Centre's financial management and control procedures are in conformity with national and international standards. Successive audits for GCSP during the evaluation period found that the Centre's financial statements were in line with Swiss law and the Foundation's deeds and internal regulations. Since 2015, the Centre was also found to comply with Swiss Generally Accepted Accounting Principles for small non-profit organisations (Swiss GAAP FER 21) in accordance with the new regulations.

55. Over the evaluation period, GCSP has taken measures to increase the efficiency of its activities. These include the creation of the Global Support Group in 2016, which brings together the administrative, logistical and support activities for running the courses and events into an organisational hub; improving the administrative efficiency and reducing the running costs of the long courses delivered by the Centre; and reducing personnel costs while increasing the number of courses and events held at the Centre by more than double, as mentioned above. Staff are generally satisfied with the level of efficiency in the use of resources, reporting that a majority believed that outputs were being achieved on time (56% strongly agreed and 41% agreed) and that outputs could not have been achieved with less resources (47% strongly agreed and 31% agreed).

56. Internal human resources policies have also been reviewed and expanded to improve efficiency, with the development of a new Employee Handbook in 2016 and 13 new policies and one regulation approved in 2017. Staff agreed that internal policies and guidelines are readily available (76% agree or strongly agree) and that information sharing on internal policies is transparent (70% agree or strongly agree).

57. However, the evaluation team found that there was some concern that human resources have been put under additional pressure because of the efficiencies made in personnel costs combined with the intensification of activities over the evaluation period. Interviews with staff heard that departments were overworked and lacked capacity. The staff survey found that a lack of human resources is seen as a key limiting factor for the Centre's effectiveness. Moderate levels of staff turnover (50% in the Senior Management team over the evaluation period, (24% in 2015, falling to 12% in 2017) and repeated concerns highlighted in interviews and the SWOT workshop about the shift away from employing staff with a strong academic background were registered. According to some staff, the reliance on short-time junior staff have created discontinuities in working relations, concerns about quality management and strains on staff capacity. The 2017 EduQua audit found that the reforms and innovations undertaken by the Centre required an additional investment in personnel. It also found that such an investment was not yet visible and that human resources risked becoming strained by an overly heavy workload. It is normal that rapid and revolutionary changes in management and approach should cause some additional workload during the transition period. These concerns should be monitored carefully as the Centre

consolidates its reforms and management should be prepared to invest in appropriate human resources in response.

Finding 16: GCSP has access to substantial external expertise to complement its core staff expertise. There are noticeable internal concerns that the current trends in human resource efficiencies could damage the balance in the future, but it is too early in the consolidation of the Centre's reforms to evaluate its positive or negative effects (EQ3.3)

58. Related to the concerns about staff capacity is the issue of balancing between core, in-house experts and external, temporarily mandated, experts. In parallel to the substantial increase in the number of events and courses taking place at the Centre, the number of guest speakers increased sharply during the evaluation period (see **Error! Reference source not found.**). Nevertheless, it should be noted that the percentage of guest to staff speakers has decreased, suggesting an increased use of internal expertise in tandem with outsourcing specific expertise in new and specialised fields.

59. Staff are split almost equally about the appropriateness of the relative numbers of core and external experts: 40% agreed or strongly agreed, while 38% disagreed or strongly disagreed, with 23% neutral. When asked whether the profiles of the core experts were adequate for the Centre's needs, 51% agreed or strongly agreed, while 25% were unsure and 21% disagreed or strongly disagreed. Finally, one quarter of staff agreed that problems sometimes arose because they did not have the skills necessary to do the job. Consultations with staff showed that there are concerns about how the Centre can maintain a "specialised generalist" perspective so that it can continue to cover a diverse variety of different fields at an adequate depth of expertise. The new entrepreneurial approach to course planning and delivery and the reduction of internal experts lead operational staff to identify the potential hollowing out of the Centre's in-house expertise as a threat.

Table 2.7 *Guest speakers' services at GCSP over evaluation period*

	2014	2015	2016	2017
GCSP staff	1	31	111	164
Guest speakers	86 (98.85%)	482 (93.95%)	758 (87.22%)	724 (81.53%)
Total	87	513	869	888

60. However, these doubts are not shared by external stakeholders responding to the survey, who reported that the profiles of the Centres' experts are well suited to the work that it does (79% agree or strongly agree). As GCSP continues to go through the organisational transformation in its approach to its activities, the evaluation team underlines that it is understandable that there are going to be concerns. It is too early to conclude either way, but the concerns, which represent a notable trend in the comments heard from staff, should not be dismissed and should be followed closely going forward.

2.4 Sustainability

Finding 17: The Centre lacks relevant tools to assess the sustainability of its activities and does not have Information Management and Archives policies (EQ4.1)

61. Assessing the sustainability of the actions' results in the field of education is complex. It requires specific means and rigorous monitoring of the activities' beneficiaries over the long term. Added to this difficulty is the need to specifically define sustainable benefits in such complex areas as security and peacebuilding. Responses to the online surveys showed a difficulty in dealing with the question of sustainability, which was the subject of many comments reflecting misunderstandings. The partial implementation of a Results-Based Management process also contributes to the difficulty of an assessment.

62. In terms of executive education, several alumni emphasised that participation in a GCSP course was decisive and instrumental for their professional career. The independent evaluation of the Swiss Peacebuilding Course evokes the improvement of the participants' effectiveness in their activities in the field. Since 2017, scholarship beneficiaries are required through their scholarship agreement to provide a series of blog posts to illustrate how they are putting what they have learned into practice. Alumni's testimonies are also numerous and refer to positive changes in their approach to peace and security issues. GCSP partners highlight the constructive change in the mindsets of returning participants on these issues after a course. The participation of representatives from many countries in the courses is mentioned as strongly promoting mutual understanding.

63. However, it is not possible to assess globally and reliably the sustainability of the GCSP education results. The Centre needs specific professional tools for the evaluation of adults' learning and development, which measure the changes in the participants' approaches and practices in the medium and long term as well as the sustainability of these changes. The evaluation of the sustainability of activities in terms of policy analysis and dialogue is also difficult to establish, in the absence of qualitative strategic orientations in these two areas as well as lack of analytical synthesis of their results. Finally, the Centre has not yet adopted an information management policy or an archives policy. These two tools are necessary for knowledge management and for contributing to the sustainability of the Centre data and intellectual production.

Finding 18: The implementation of the 2014-2020 strategy will be difficult to sustain with the same staff capacities and funding going forward (EQ4.4)

64. For four years, the rapid changes in the development model and the multiplication of the Centre's activities - courses, events, initiatives and outreach - with identical human and financial means have required efforts for the staff that touch their limits. They also generate persistent concerns about the risks of a decline in the quality of services and of a loss of expertise in the face of growing competition, including within the Maison de la Paix. The increase in the number of courses and participants in trainings and events is starting to stabilise. Finally, the many activities deployed to diversify the funds have not produced decisive results. The GCSP has succeeded in reaching the financial objectives required by the FDFA but it still requires the predictable and decisive support from the Swiss Confederation to continue to function and develop.

65. The Centre's current strategy runs until 2020. The Centre has also developed specific strategies (Alumni Affairs and RBM) to this date as well. Considering the data, the further development of the Centre at the same pace and under the same conditions appears difficult to sustain. It would be prudent for the Centre to review the strategy in 2018 to assess the gains made and make the necessary corrections, adaptations and recommendations.

3 Conclusions

66. In 2014, one year before celebrating its 20th anniversary, the GCSP built a new "vision for 2020" with a strategic plan that was qualified by senior managers as a "real change of course". The declared objective showed ambition: to be recognised as "one of the world's leading centres of executive education in international security, peace and foreign policy" and to "nurture a global community of security, peace and foreign policy experts" through executive education, dialogue opportunities and policy analysis. The strategy was validated by the Foundation Council and was implemented with the financial backing of the Swiss Confederation in the framework of Switzerland's international support to peace efforts and activities.

67. GCSP is strategically aligned with Swiss international policy and the quantitative results of four years of implementation of the strategy are impressive. Activities have been carried out with great efficiency, especially thanks to the committed and competent staff. The profile of the Centre has been reinforced and its networks expanded with a presence in 165 countries. It can boast a global community of around 10,000 people, 65% of them in Europe.

68. The Centre has many assets, acquired over time, including its reputation and location in Switzerland in a safe and neutral environment - essential for the Centre's mandate and participants. The Maison de la Paix, with its prestigious infrastructure and facilities in the heart of International Geneva, increases these assets. Thanks to a host of experts (academic and practitioners), the quality of products and services, further strengthened by new initiatives, is widely recognised.

69. In the area of executive education, where the aim was to devote 70% of the Centre's activities, more courses than ever before have been offered, while the Centre continues to contribute to the training needs of the Swiss administration in security, defence and peace policy and in the context of the Swiss Partnership for Peace programme.

70. The number of dialogue activities, whose objective was to constitute 20% of the activities of the Centre, has increased, particularly in Geneva. Their effects on the promotion of "the construction and maintenance of peace, security and stability in Europe and in the world" are difficult to prove. More specific intermediate outcomes for dialogue activities should be set in order to support monitoring of results.

71. In terms of policy analysis, the results are ambiguous. The lesser share devoted to it - 10% of the Centre's activities - and the perception of a decline in internal expertise, threatens to decrease the academic rigour of the Centre's substantive contributions, detrimental for reaching the coveted place among world's leading executive education centres.

72. The lack of meaningful fiduciary and strategic oversight from the Foundation Council has prevented the governance body from contributing to the consolidation of the relevance of the strategic objectives and to the realism of the financial objectives. For example, the conditions for reaching out towards new audiences, such as the for-profit corporate sector, have not been substantiated nor supported by a deep knowledge and strong relationships in this sector to which many efforts have been devoted by the Senior Management without convincing results.

73. Ambitions towards expanding missions and services, in comparison with available financial and human resources, are stretching the current capacities to achieve objectives and need to be reviewed. The ambitions have also been wide-ranging and would benefit from more focus and prioritisation to protect the quality of GCSP's work and support its strive for excellence. The partial implementation of a

Results-Based Management process and the lack of specific tools for adult learning and development evaluation make it difficult to assess the sustainability of the GCSP education achievements. The absence of policies for Information Management and Archives is damaging to the sustainability of the Centre's intellectual outputs.

74. Following intense activities to diversify funding, the Centre has succeeded in reaching the minimum 15% share of funds other than of the Swiss Confederation, but it is far from being sustainable without the continuation of a predictable Swiss support. The further development of the Centre at the same pace and under the same conditions appears difficult to sustain.

75. The 2014-2020 strategy aimed at adapting the Centre to the changes under way in the geostrategic and security policy fields and the knowledge and training needs of its main stakeholders. It was also intended to enable the Centre to face competition between institutions working on peacebuilding and security policies. As the evaluation has shown, the Centre has spared no effort or efficiency or creativity in adapting, developing and innovating beyond its original core mission and statute. It may be necessary in the future to reconsider the Centre's statute to reflect these changes and the reality of how the Centre is working. In the short term, a pause to consolidate the gains made and review lessons learnt would be prudent. In such an endeavour, identifying new cooperation and synergies with other institutions, particularly within the Maison de la Paix, will be a priority.

76. The next section of this report presents recommendations to the Centre going forward.

4 Recommendations to GCSP

Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre.

Priority: Short-term

Finding: 6

77. GCSP needs to have strategic and programmatic oversight bodies that have the skills to be able to actively contribute to the Centre's strategy direction, outreach and fundraising. GCSP needs expertise in sectors that are vital to supporting its corporate development, including knowledge of executive education, business development, marketing and fundraising. These skills could be brought in through the creation of an advisory board, similar to that of GICHD. This board would not have responsibility for fiduciary oversight but be a supportive mechanism for substantive issues relating to the Centre's business development and course content.

Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.

Priority: Short-term

Findings: 3, 7, 17, 18

78. The SMT should anchor its review in (1) the analysis of the current competitive environment, trends in executive education, the evolution of needs among its traditional audiences (government officials, diplomats and militaries), and the profiles and needs of new audiences; (2) the complementarity with similar services and offerings in Geneva; (3) trends in funding and lessons learned from the past four years; (4) staff needs with regards to guaranteeing and protecting service quality and ensuring human resources capacity. The review should take place by the end of 2018 to allow the Centre to take stock of its achievements, consolidate gains made and adjust to the competitive environment.

Recommendation 3: The Senior Management Team should consolidate the implementation of a Results-Based Management process.

Priority: Medium-term

Findings: 7, 8

79. The Senior Management Team should invest in equipping the Centre with adequate tools to monitor and evaluate adult learning and development and measure behavioural change in customer's approaches and practices in security and peacebuilding issues. The tools should have the capacity to measure the sustainability of these changes over periods of one to two years.

Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

Priority: Long-term

Findings: 2

80. Given the shift in the Centre's focus and its new approach to its work, GCSP's statutes may require revision. This should be done in close coordination with the Swiss Confederation, the founding member of the Centre and without which the Centre is not yet viable. The strategic goals of the Confederation should be explicitly expressed. The Centre and the Swiss Confederation need to come to a shared understanding of the Centre's long-term mission, objectives and activities, and adjust the statutes to reflect this.

Appendix I List of Findings

- Finding 1: The Centre has a positive reputation internationally based on the perceived expertise of staff, its convening power and innovative response to needs (EQ1.3)
- Finding 2: GCSP is strategically aligned with Swiss international policy and the Centre's Framework and annual agreements. It's new strategic direction signals an evolution away from the Centres' original statute (EQ1.2)
- Finding 3: The Centre's 2014-2020 strategic map has had positive results but could continue to strengthen analysis of key topics for corporate development (EQ1.1, 2.1)
- Finding 4: Through the move to *Maison de la Paix*, GCSP has actively developed capacities and measures to raise its profile and develop stakeholder engagement (EQ1.4)
- Finding 5: The Centre takes gender consideration into account in its trainings and activities (EQ1.5)
- Finding 6: The Foundation Council would benefit from additional expertise to provide meaningful fiduciary and strategic support and oversight to the Centre (EQ2.3 and 2.4)
- Finding 7: Management reform has seen positive progress, yet challenges remain. (EQ 2.3.2)
- Finding 8: The Centre does not have a fully integrated Results-Based Management process. Those monitoring mechanisms that are in place do support course adaptations and improvements but do not consider the measurement of long term outcomes (EQ2.2)
- Finding 9: The Centre has substantially increased the number of courses it delivers, with a growth in focus on fee-paying courses. Satisfaction with courses is positive but staff are concerned about guaranteeing quality in the future (EQ2.5 and 2.6)
- Finding 10: The Centre's Alumni network has expanded, diversified and strengthened, generating increasing alumni engagement with the Centre beyond the provision of courses (EQ2.5 and 2.6)
- Finding 11: The innovative Global Fellowship Initiative arouses growing interest (EQ2.5, 2.6.1)
- Finding 12: The Centre has increased the number of events it organised, as well as editorials and media contributions, but without having defined a global strategic framework for these activities (EQ 2.6)
- Finding 13: GCSP has developed its Resource Mobilisation and Marketing capacity and has seen significant results in shaping visibility, customer relationships and client engagement (EQ2.5, 2.6)
- Finding 14: GCSP has succeeded in reaching the minimum share of funds from donors other than the Core FDFA funding defined in the Federal Dispatches well within the period required (EQ3.1)

- Finding 15: The Centre has improved administrative efficiency while significantly increasing its activities with the same number of staff. However, there is evidence that human resources are under pressure as a result (EQ3.2.1, EQ3.2.2)
- Finding 16: GCSP has access to substantial external expertise to complement its core staff expertise. There are noticeable internal concerns that the current trends in human resource efficiencies could damage the balance in the future, but it is too early in the consolidation of the Centre's reforms to evaluate its positive or negative effects (EQ3.3)
- Finding 17: The Centre lacks relevant tools to assess the sustainability of its activities and does not have Information Management and Archives policies (EQ4.1)
- Finding 18: The implementation of the 2014-2020 strategy will be difficult to sustain with the same staff capacities and funding going forward (EQ4.4)

Appendix II List of Recommendations

- Recommendation 1: The Bureau should support the Director in establishing an Advisory Board that can provide strategic direction and programmatic support to the Centre.
- Recommendation 2: The Senior Management Team (SMT) should assess the achievements made under its current strategy and review the goals, means of implementation and fundraising plan in the current context to consolidate the Centre's development and ensure its sustainability.
- Recommendation 3: The Senior Management Team should consolidate the implementation of a Results-Based Management process.
- Recommendation 4: The GCSP Director should open conversations with the Swiss Confederation and the Foundation Council to review the Centres' statutes and bring them in line with the Centre's current mission, objectives and activities. In this regard, the strategic goals the Confederation wishes to achieve through its support to the Centre should be explicitly expressed.

Appendix III Breakdown of funding sources

	CHF = % OF TOTAL INCOME	2014	2015	2016	2017
Swiss Confederation		9'246'884	10'834'692	11'123'441	9'663'939
% of total income		82%	86%	87%	84%
FDFA Core funding		8'145'804	9,413,375	10'194'228	8'822'482
FDFA projects		728'228	856,055	447,070	489,096
DDPS projects		256'534	546,263	316,408	289,605
Office Federal des Migrations		116'318	-	119,941	62,751
Federal office Public Health		-	19,000	38,000	4
Swiss Federal Chancellery		-	-	7,794	-
Contributions by States		726'147	710'229	113'971	169'322
% of total income		6%	6%	1%	1%
Number of States		10 states + OIF	6 states + OIF	6 states	9 states
Other contributions to projects		615'177	819'708	1'081'678	1'142'814
% of total income		5%	7%	9%	10%
Nestar Foundation		343'061	339'390	424'061	425,837
Other contributions					396,125
Course fees participants			150'366	184'767	182,121
UN					8'124
UNSCAR			91'272	104'991	
GIIS (IHEID)					538
Global Scholarship Fund					22'726
Travel expenses paid by 3ps					3'430
Participants - hotel etc. exps					595
EU					9'466
UNIGE/Global Studies Institute			118'775	92'162	93,854
Partner institutions and other contributions		272'116	119'905	275'697	44,879
Other incomes		773'073	201'516	400'792	537'104
% of total income		7%	2%	3%	5%

	CHF = % OF TOTAL INCOME	2014	2015	2016	2017
	Rents				200,420
	Contributions transferred from previous year	646'195			
	Other incomes	126'878	201'516	400'792	537'104
TOTAL		11'361'281	12'566'145	12'719'882	11'513'179

Details Share of funding in GCSP total income

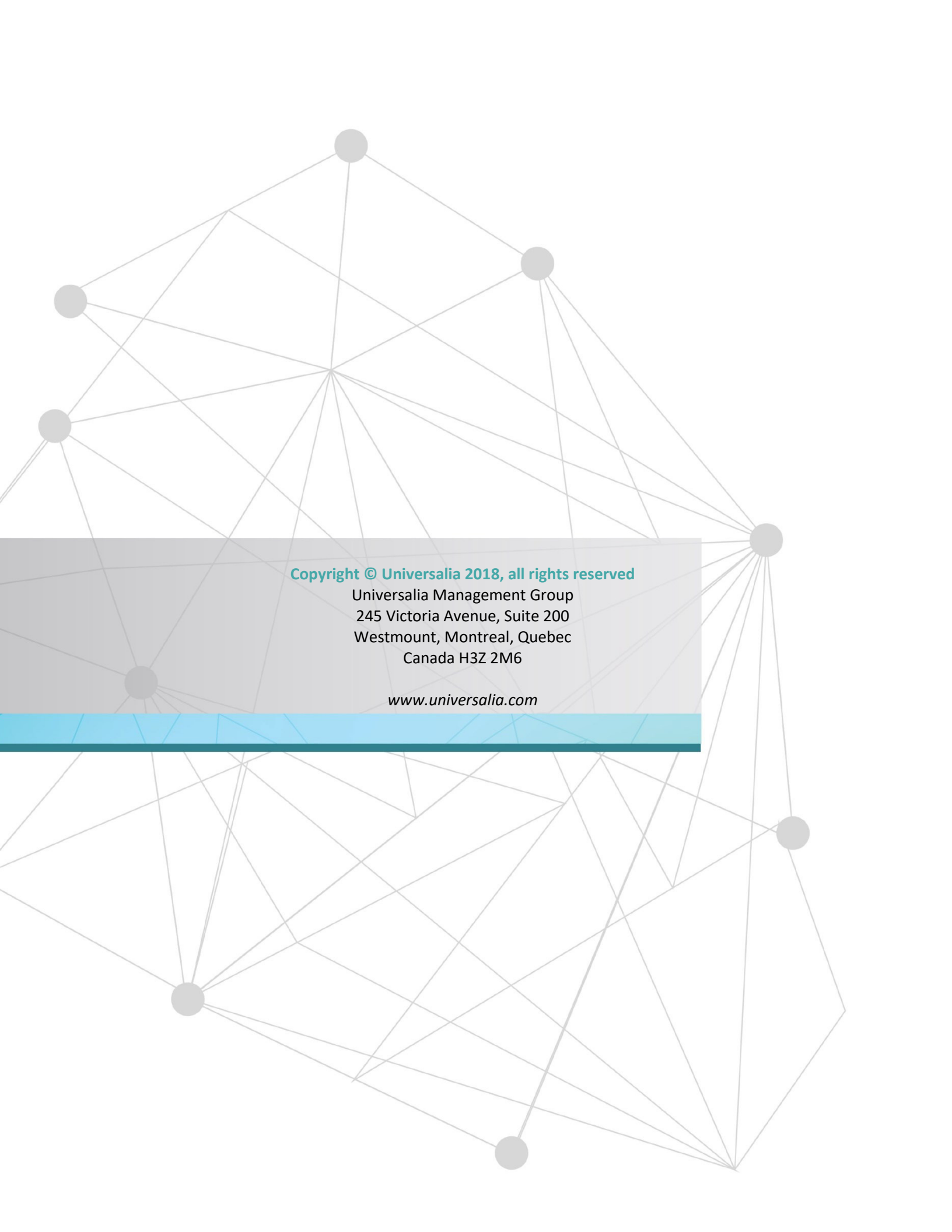
CHF = % of total income	2014	2015	2016	2017
Swiss Core funding only	72%	75%	80%	77%
Total other contributions	28%	26%	20%	23%

Source: All numbers for 2014, 2015 and 2016 sourced from audited financial reports. 2017 source: GCSP Spreadsheet "Income Year to 31.12.17".

External evaluation of the Geneva Centres

Volume 4: Geneva International Centre for Humanitarian
Demining (GICHD)

FINAL REPORT | MAY 2018



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Executive Summary

This evaluation report forms part of the External Evaluation of the Geneva Centres mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091). The evaluation covers three Geneva Centres: the Geneva Centre for the Democratic Control of Armed Forces (DCAF); the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between mid-2014 and mid-2017 and supporting learning and the corporate development of the Centres.

This volume focuses solely on the findings for the GICHD. For details on the methodology used for the evaluation, the evaluation's findings on the other Centres or the country Vignettes developed for the evaluation, please see Volumes 1, 2, 3, 5 and 6.

Relevance

In terms of relevance, both stakeholders internal to GICHD and GICHD's partners and peers recognise the unique role played by the Centre in mine action. The competence, expertise and commitment of the staff is positively perceived internationally. The Centre's location in Geneva and association with Swiss values of neutrality and independence are a particular strength for the Centre in fulfilling this role. The scope of GICHD's work remains aligned with the Swiss framework credits. However, GICHD's strategy is not in line with the periods covered by the framework credit. It is planned to synchronize the periods for the next GICHD strategy after 2018.

With a Gender and Diversity policy implemented since 2013 and a Gender and Diversity Action Plan developed in 2017, GICHD is particularly

strong in terms of the integration of gender and diversity considerations in its activities. However, the institutional separation between GICHD and the Gender and Mine Action Program is not optimal. There has already been internal discussion and investigation into this point, but no decision has been made despite support for the move.

While the location of GICHD in Geneva is a key strength in terms of the Centre's identification with Swiss values of independence and neutrality, the lack of field presence sometimes hinders the Centre's response and staff feel a tension between being thematic experts and advisors on the ground. Proposals to deploy "regional teams" (one policy expert, one technical expert) to be closer to where the clients are and more easily deployable have been raised for consideration. The move to the Maison de la Paix (MdP) has had a mainly positive effect on GICHD's work and its collaboration with the other Centres. The building is in a good location close to other institutions within International Geneva, with easy connections for communing and good facilities.

Effectiveness

In terms of effectiveness, GICHD governance benefits from close interaction among mine action stakeholders. GICHD's Council of Foundation currently has 25 members from donor and affected countries and is engaged in providing strategic and financial oversight, as well as programmatic support for the Centre. Composed of a wide variety of experts from all national and international horizons, GICHD Advisory Board provides advice to both the Foundation Council and GICHD's management.

Management processes are generally good. Staff at GICHD are proud to work for the Centre and report that the working environment is positive.

There is also a clear strategic direction, thanks to the existence of the strategic plans (2012-2014 and 2015-2018) and the integration of a results-based management (RBM) process. The 2015-2018 strategic plan in particular provides a well-defined vision of the strategic orientation of GICHD and how the outputs it produces are expected to lead to the Centre's Strategy outcomes and strategic objectives. Several mechanisms and processes are in place to share information. Nevertheless, trends in the data suggest that internal communications could be stronger.

The integration of Results based management (RBM) processes has been challenging for the Centre and the fruits of recent efforts to simplify the system are yet to be seen. The 2015-2018 strategy establishes an RBM system with a results framework and indicators to support monitoring and reporting. Activities are reported to the Foundation Council in bi-annual meetings and results are reported through annual reports and, under the current strategy, the 2016 Performance Report. GICHD is set to achieve a large majority of its expected outcomes and is making good progress towards meeting the strategic objectives established in the 2015-2018 Strategic Plan.

Partnerships are crucial for GICHD's work to support states in mine action and to develop its strong network of local partners working to support national authorities in affected states. The working model of GICHD is to work in partnership with national authorities in affected states and to provide technical training on specific projects, mainly on a short-term basis, by sending international expert staff to partner countries. Through its Regional Cooperation program, GICHD convenes different stakeholders to share resources and experiences and provides support in French, Arabic, Persian and Russian.

The hosting of the implementation support units remains an asset for the promotion of the APMBC and the CCM objectives. GICHD provides substantive, administrative and logistical support to both support units (ISU-APMBC and

ISU-CCM). The presence of the Secretariat of the IMAS within GICHD also facilitates exchanges about their interpretation, evolution and change oriented process.

Efficiency

In terms of efficiency, GICHD has succeeded in diversifying its financial sources and has surpassed the minimum threshold set by the Swiss Confederation. Swiss core funding for GICHD is a significant strength for the Centre. In addition to this core funding, GICHD has surpassed its target of receiving at least 25% of its total contributions from donors other than Switzerland.

Financial resources are being used in an efficient manner, in line with national and international standards for financial management and control. During the last strategy, significant efforts have been invested in order to improve financial information management. All independent financial audits during the evaluation period have found that GICHD's financial statements comply with Swiss law and the statutes of the Foundation, and that GICHD maintains a system of financial management and control confirming to generally accepted accounting principles. GICHD's efficiency is somewhat undermined by high staff turnover, especially among junior staff and in operations. The evaluation team also found that there was dissatisfaction with the apportioning of responsibilities across the organisation and that is some level of duplication of roles and functions among staff.

Sustainability

In terms of sustainability, while staff emphasised that they experience difficulties in measuring and ensuring the sustainability of the results of their work due to the lack of in-country presence or remote monitoring system, GICHD's focus on establishing national standards, policies and strategies supports the achievement of lasting change. GICHD's partners, peers and donors recognised GICHD's work to establish national standards, reviews and strategies, including the Swiss Mine Action Strategy 2016-2019, do lead

to meaningful and long-term outcomes in the targeted countries. The functional complementarity that prevails between the Centre and the ISUs and the IMAS Secretariat guarantees dialogue continuity and information sharing among primarily interested stakeholders in mine action.

Conclusion

For 20 years, the Geneva International Centre for Humanitarian Demining has played a unique role in mine action. Perceived internationally as a centre of excellence, the GICHD promotes international norms and standards and provides capacity development and advisory services on all aspects of mine action. In only two decades, GICHD has built a solid reputation through a highly-skilled and committed pool of experts. The location of Maison de la Paix in the heart of international Geneva fosters the access to renowned networks related to the field of mine action.

Consequently, the organisation's structure and spirit are imbued with Swiss values of independence and neutrality. The scope of GICHD's work is aligned with the content of the Swiss framework credits and the Swiss Confederation remains the main donor of the centre. However, despite this undeniable "Swissness" of the Centres, GICHD has steadily improved its capacities in diversifying its financial resources. The integration of RBM, policies and principles in the management of GICHD's operations has improved the Centre's efficiency and accountability.

Competition in the field of mine action is both a challenge and a threat for GICHD effectiveness

on the ground. Considering the multiplying war areas, GICHD faces an increasingly number of requests from many different national authorities. Its centralized structure and Geneva-based resources are sometimes not enough agile and sufficient to respond effectively to external solicitations. An enhanced presence of GICHD on the ground is often mentioned as a realistic proposal to work closer to national stakeholders and partnering organisations. In addition to strengthening local partnerships, regional offices could also participate in promoting other areas of expertise and identifying new trends in the field.

Recommendations

Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.

Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.

Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of decentralised regional teams (technical/policy/standards).

Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

Acronyms

AM	Ammunition Management
APMBC	Anti-Personal Mine Ban Convention
ARCP	Arab Regional Cooperation Programme
CCM	Convention on Cluster Munitions
CdP	Comité de Pilotage
DCAF	Geneva Centre for the Democratic Control of Armed Forces
DPPS	Federal Department for Defence, Civil Protection and Sport (Switzerland)
EQ	Evaluation Question
ERW	Explosive Remnants of War
FC	Foundation Council
FDFA	Federal Department of Foreign Affairs (Switzerland)
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
GMAP	Gender and Mine Action Programme
IED	Improvised Explosive Devices
IMAS	International Mine Action Standards
IATG	International Ammunition Technical Guidelines
IO	International Organisation
ISSAT	International Security Sector Advisory Team
ISU	Implementation Support Unit
LMAC	Lebanon Mine Action Centre
MdP	Maison de la Paix

M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
MNC	Multinational Companies
MoU	Memorandum of Understanding
NATO	North Atlantic Treaty Organisation
NGO	Non-governmental Organisation
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
OIF	Organisation internationale de la Francophonie
PBSO	United Nations Peacebuilding Support Office
RBM	Results Based Management
SALW	Small Arms and Light Weapons
SAS	Small Arms Survey
SDC	Swiss Agency for Development Cooperation
SDGs	Sustainable Development Goals
SSG	Security Sector Governance
SSR	Security Sector Reform
StG	Steuergruppe
SWOT	Strengths, Weaknesses, Opportunities and Threats
TOR	Terms of Reference
UK	United Kingdom of Great Britain and Northern Ireland
UMG	Universal Management Group
UN	United Nations
UNDP	United Nations Development Programme
USA	United States of America

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1 Introduction

1. This evaluation report forms part of the External Evaluation of the Geneva Centres, mandated by the Swiss Federal Parliament through the framework credit 2016-2019 that establishes Swiss support for the three Centres (Federal Dispatch 14.091, hereafter referred to the 2016-2019 Dispatch). The evaluation covers three Geneva Centres: the Geneva Centre for the Democratic Control of Armed Forces (DCAF); the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD). The evaluation aims to contribute to the next Federal Council Dispatch to the Parliament for 2020-2023 by accounting for the activities of the Centres between mid-2014 and mid-2017 and supporting learning and the corporate development of the Centres.
2. This volume focuses solely on the findings for the GICHD. For details on the methodology used for the evaluation, the evaluation's findings on the other Centres or the country Vignettes developed for the evaluation, please see Volumes 1, 2, 3, 5 and 6.

1.1 Context

3. Mine action entails all activities that can facilitate the reestablishment of a safe environment and the return of land to productive use whereby people affected by conflict can rebuild stable and dignified lives. This is operated through 5 types of actions: Clearance, survey and destruction of landmines and marking of contaminated areas; Risk education, ensuring people identify and understand mines and avoid the risk; Victims assistance, providing medical assistance and rehabilitation services to victims; Advocacy, by advocating for a world free from the threat of landmines; and Stockpile destruction, helping countries destroy their stockpiles. Twenty years after the signing of the Anti-Personal Mine Ban Convention (APMBC), mine action comprises a whole range of activities which, at local, national, regional and international levels address the threats posed by mines, cluster munitions and other Explosive Remnants of War (ERW).
4. GICHD regularly commissions context analyses of the mine action and broader humanitarian-development sectors. Mine action is a field of operations which adapts itself to needs of communities, the new reality of conflicts, funding trends, technological progress. The level of violence has intensified in the last decade with a far higher death toll compared to the past¹. While the number of people injured and killed by landmines has considerably decreased, since 2014, the number has steadily increased and, in 2016, the number of casualties rose partially because of an increased use of Improvised Explosive Devices (IEDs) laid as landmines.²
5. In parallel, over the past decade, the mine action sector has evolved and matured and has fixed new objectives to its constituents. The 2014 Maputo action Plan³ sets out a clear roadmap for completion of the APMBC by 2025 (clearance obligation). Although the international community will continue

¹ Syria remains the deadliest conflict, followed by Afghanistan and Iraq.

² Assessment of GICHD's Working context, 2018, Sharmala Naidoo, March 2018, p. 7

³ <https://www.maputoreviewconference.org/fileadmin/APMBC-RC3/3RC-Maputo-action-plan-adopted-27Jun2014.pdf>

supporting countries with "legacy minefields", the 2025 deadline will be hard to reach as the focus will now turn increasingly on countries with newer contamination problems (like Iraq, Syria, Yemen - all filled with extensive amounts of mines laid as IEDs). The Convention on Cluster Munitions (CCM) has now a completion date set for 2030.⁴ These objectives are translated into advocacy campaigns to urge affected states and donors to increase their efforts. There has also been "increased recognition in recent years of the need for affected states to manage the risks of residual contamination".⁵

6. On the technical side, although there does not exist a complete map registering the current extent of landmines, cluster munitions and ERW around the world, significant efforts have been undertaken in information management as key technological support for national mine action authorities. In the same vein, the "application of land release, and survey methodologies in particular, as a means of improving operational efficiency is a continued and positive trend".⁶ Another positive note remains the impressive number of destruction of global stocks of cluster munitions and anti-personnel mines.⁷ Also, according to the Small Arms Survey, the number of casualties resulting from unplanned explosions is thought to be comparable to those sustained from anti-personnel landmines. The widespread use of IEDs by armed non-state actors is also urging the development of national policies on these issues as well as ammunition management measures to prevent the diversion of materials for making IEDs.⁸

7. More recently, the adoption of the 2030 Agenda⁹ has called for a new approach to planning, delivery, monitoring and reporting for development. In this regard mine action stakeholders are invited to build on and capitalise of their historic experience and achievements to demonstrate¹⁰: how mine action contributes to improve lives and livelihoods; a growing use of data for evidence-based planning and reporting; the establishment of information management systems; activities to be targeted at the most marginalised groups in society; supporting national ownership and capacity development; and the ability to work in a range of operational settings, from humanitarian to long-term development. The increased interconnectedness of the challenges and responses needed to achieve these objectives should lead and enforce mine action organisations, including the GICHD, to better "*align mine action with broader development priorities at planning and implementation levels, define and monitor outcomes in terms of equity, livelihoods and development investments; collect and analyse disaggregated data for planning and reporting of results; and cooperate and coordinate across humanitarian-development sectors and stakeholders*" to ensure that "No One is Left Behind".

⁴ <http://www.stopclustermunitions.org/en-gb/the-treaty/dubrovnik-action-plan.aspx>

⁵ Assessment, op. quoted, p.14

⁶ Ibid, p. 15

⁷ Approximately 1,4 million cluster munitions containing more than 175 million submunitions have been destroyed as of 2017 by CCM States Parties, Ib. p.16

⁸ Assessment, p. 16

⁹ Since 2016, the 2030 Agenda support 17 Sustainable Development Goals (SDGs) and 169 targets

¹⁰ Leaving No One Behind: Mine Action and the Sustainable Development Goals, Preliminary findings, @GICHD/UNDP, Geneva, Feb. 2017 https://www.gichd.org/fileadmin/GICHD-resources/rec-documents/UNDP_GICHD_Study-Linking_Mine_Action_and_SDGs-Preliminary_Findings_FINAL_formattedv2_full.pdf

1.2 About GICHD

8. The Geneva Centre for Humanitarian Demining (GICHD or the Centre) is an international organisation dedicated to reducing the impact of mines, cluster munitions and other explosive hazards. It supports national authorities, international and regional organisations and NGOs in their efforts to improve mine action in terms of relevance, performance and sustainability by developing knowledge and research, promoting norms and standards and providing capacity development and advisory services on all aspects of mine action. The Centre also hosts the Implementation Support Units of the Anti-Personnel Mine Ban Convention and the Convention on Cluster Munitions.

9. GICHD was founded in 1998 and is a Swiss Foundation under Swiss law. It has 65 staff members and an annual budget of CHF 15,801,617 (2017). It receives core funding set by the Swiss Parliament and additional funding from bilateral and multilateral donors. The evaluation period covers two framework credits that establish the Swiss contributions. Total Swiss funding between 2012-2015 was CHF 36.2 million, while between 2016-2019, Swiss funding amounts to CHF 38.5 million. Swiss contributions make up 67% of the GICHD's budget (2017).

10. GICHD is governed by a Foundation Council, composed of representatives of members states in each Centre (e.g. ambassadors or permanent representatives at the United Nations), as well as Swiss Officials. The Council has a fiduciary, strategic and programmatic oversight over the Centres operations and is administered by a Bureau. GICHD also has an Advisory Board of 24 members, made up of experts and representatives from peer organisations.

Table 1.1 *GICHD at a glance¹¹*

	GICHD
Year established	1998
Role	Mine Action
# of staff	67 (incl. the ISU-APMBC & the ISU-CCM) equivalent to 61.7 Full Time Equivalent (50,9% women, 49,1% men); over 23 nationalities
# of members in Foundation Council	25
# of members in advisory board	25
Donors (Country, including Switzerland)	10
Donors (Organisations)	15 institutional donors
Annual budget	CHF 15,801,617
Swiss core contribution (core and project funding) as % of total budget (2016)	65%

¹¹ Values are as of 2017 unless otherwise stated.

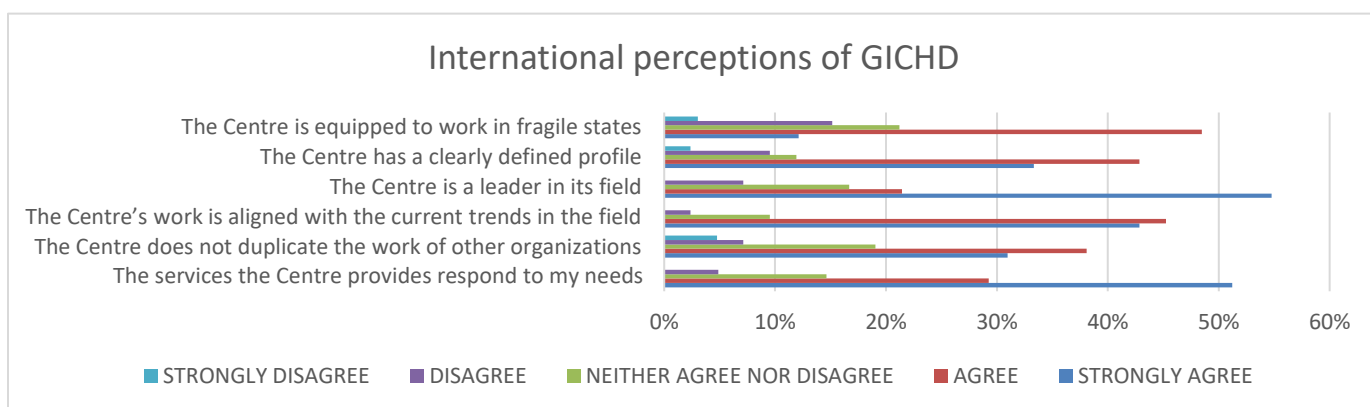
2 Findings

2.1 Relevance

Finding 1: GICHD plays a unique role in mine action and is positively perceived internationally. (EQ1.3)

11. Overall, both stakeholders internal to GICHD and GICHD's partners and peers recognise the important role the Centre plays in mine action. Consultations with partner governments, implementing partners and donors were positive about the continuing relevance of GICHD. A majority of stakeholders who participated in the evaluation's online survey did not believe that there were any gaps in the scope of GICHD's work. Partners and peers emphasised the pivotal work on GICHD in shaping the mine action agenda and said that it fulfilled a unique role. The competence, expertise and commitment of the staff is also a running theme heard by the evaluation team throughout this evaluation. However, some partners were concerned that GICHD's role in new areas of reduction of risks from other explosive ordnance, such as ammunition was still uncertain, or loosely defined. GICHD staff believe that they provide a safe space to facilitate innovation on mine action and that they are positioned as a leading organisation that speaks up for mine action and keeps the issue on the agenda. The Centre's location in Geneva and association with Swiss values of neutrality and independence are a particular strength for the Centre in fulfilling this role.

Figure 2.1 *Perceptions of GICHD's relevance collected via online survey with GICHD's partners, peers and donors*



Finding 2: The scope of GICHD's work remains aligned with the Swiss framework credits. However, GICHD's strategy is not in line with the periods covered by the framework credit. (EQ1.1, 1.2 and 1.7)

12. The evaluation period covers two GICHD strategies: 2012-2014 and 2015-2018. As such, the Centres' strategy is not in line with the Swiss legislative period (2012-2015 and 2016-2019). This is not an optimal arrangement for planning and reporting as a large majority of the Centre's funding relies on the

decisions made at the beginning and end of each legislative period. The evaluation heard from members of the Foundation Council and the Bureau that there are plans in place to synchronise the periods for the next GICHD strategy after 2018.

13. Both strategies demonstrate how GICHD analyses trends and developments in the field of mine action and the broader humanitarian-development field. Each strategy begins with a consideration of the operating context, key trends in mine action and the implications for GICHD's work. The strategies focus on responding to continuing needs, while also contributing to thinking on new trends, such as Geographic Information Systems and Unmanned Aerial Vehicles. According to Foundation Council minutes, the strategies were developed through "intensive consultations, including with the [Foundation] Council and the Advisory Board"¹²; the latter's role is to advise GICHD management on trends and new areas of work in the field of mine action.¹³

14. The goals of both strategies are clearly aligned with the needs expressed by the Swiss Confederation in its two dispatches to Parliament, the framework agreements and the Swiss mine action strategy for 2016-2019. For example, the 2015-2018 GICHD strategy developed three core objectives, which are mirrored in the Framework Credit for the three Centres, as shown in Table 2.1.

Table 2.1 *Example of alignment between GICHD strategy objectives and Swiss Framework Credit for 2016-2019*

SWISS FRAMEWORK CREDIT (2016-2019) OBJECTIVES FOR GICHD	GICHD STRATEGY (2015-2018)
Support the implementation of international conventions and humanitarian demining	1. Convention obligations are fulfilled and/or completion targets reached.
Support national authorities in dealing with residual contamination	2. Residual contamination is effectively managed through sustainable national processes.
Promote links with human security agenda	3. Mine action is fully integrated into broader efforts to achieve human security.
It will achieve these priorities by: improving methods and techniques in mine action, e.g. information management; reinforcing national capacities; supporting international humanitarian law and international norms; convening a network of cooperation between countries – in different languages; diversifying its financing.	The strategy outlines that GICHD's main services are advisory, training, research, communications and linguistic outreach, providing support and hosting services of Implementation Support Units to support international norms and standards; and the Gender and Mine Action Programme. Also states that the Centre aims to broaden and diversify its donor base.

Finding 3: **GICHD is particularly strong in terms of the integration of gender and diversity considerations, although the institutional separation between GICHD and the Gender and Mine Action Programme is not optimal. (EQ1.5)**

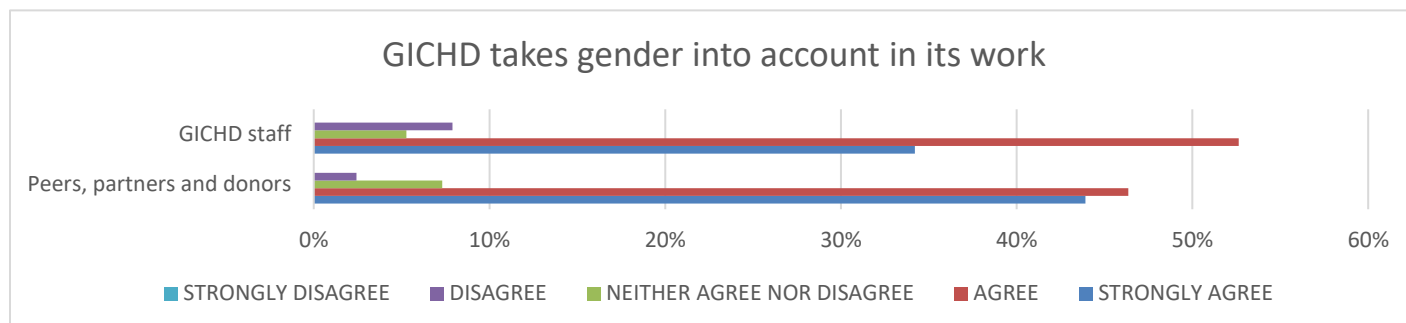
15. The evaluation finds that GICHD has a strong track record of integrating gender and diversity considerations into its activities. GICHD has had a Gender and Diversity policy since 2013, committing the Centre to taking gender and diversity considerations into account in its operations and within the

¹² 34th meeting of the Council of Foundation 8 December 2018

¹³ Terms of Reference for the Advisory Board

organisation itself. The Centre reported on Gender and Diversity in 2016, which found that GICHD had exceeded its goals in gender-mixed workshops and trainings, and that 72% of staff agreed or strongly agreed that they have relevant gender competencies. GICHD also developed a Gender and Diversity Action Plan in 2017 to put the policy into practice, setting priorities and financial and human resources for gender integration. Staff were particularly positive about this issue, with 53% agreeing and 34% strongly agreeing with our survey statement “The Centre takes gender considerations into account”.

Figure 2.2 *Staff and stakeholder satisfaction with the integration of gender considerations in GICHD's work*



16. However, a recurring theme in consultations with stakeholders was the position of the Gender and Mine Action Programme (GMAP) into GICHD. The GMAP is currently a separate entity with its own governance, housed in GICHD. Consultations with stakeholders underlined that GMAP would be more sustainable if it were integrated into GICHD but that this would require an internal budget line that would take resources from other projects. There has already been internal discussion and investigation into this point, but no decision has been made despite support for the move. Integration of the GMAP within GICHD would provide more coherence of the leading role that GICHD could take on Gender and mine action policies and programming. After years of questioning and debates, there does not seem to be a strong opposition to pursue a merging initiative that everyone sees as coherent in terms of governance and programmatic action. Such an initiative would possibly support a better mainstreaming of Gender policies into all GICHD programmes and initiatives and a better oversight on the monitoring and evaluation of gender balance within GICHD's programme evaluation.

Finding 4: While the location of GICHD in Geneva is a key strength in terms of the Centre's identification with Swiss values of independence and neutrality, the lack of field presence sometimes hinders the Centre's response. (EQ1.1, 1.7)

17. Located in Geneva, GICHD can sometimes be removed from developments in mine action in the field and staff feel a tension between being thematic experts and advisors on the ground. Being located in Geneva presents enormous advantages and value added although it sometimes leads to some degree of remoteness from the field, also leading to possible tensions between experts and implementers. Different programme staff within GICHD do not often understand the complete rationale of the "Swiss centred approach" and would effectively support the possibility to decentralise some of GICHD functions in a more effective manner. Proposals to deploy "regional teams" (one policy expert, one technical expert) to be closer to where the clients are and more easily deployable have been raised for consideration. The lack of field presence makes some staff feel that they can be one step behind the advancements on the field, and lack of practical emerging experience and practice. Nevertheless, the Centre does have a regular presence in the field through the "in and out" approach and the on-going exchanges with field

practitioners do provide opportunities to identify developments in mine action in the field. The Ukraine vignette is available in Volume 5 and further illustrates this finding.

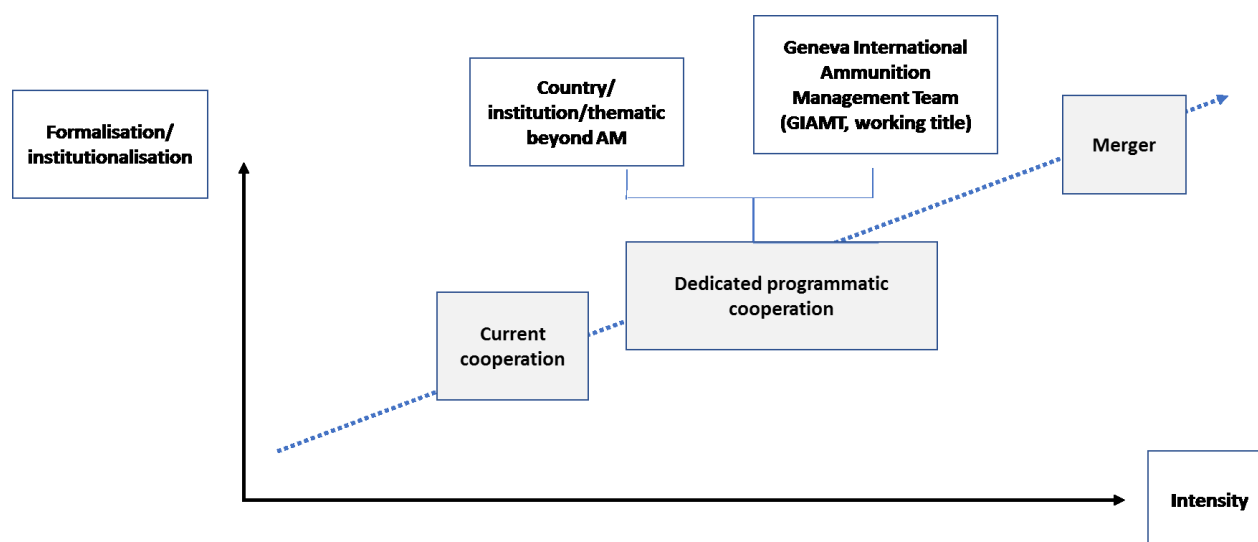
Finding 5: The move to the Maison de la Paix (MdP) has had a mainly positive effect on GICHD's work and its collaboration with the other Centres (EQ1.4)

18. Staff are mainly positive about the relocation of GICHD's offices to the MdP. The building is in a good location close to other institutions within International Geneva, with easy connections for commuting and good facilities. Nevertheless, in the MdP GICHD staff are split over three floors, making internal communications and interaction between colleagues difficult (see findings on Effectiveness, below for more details on internal communication). It is also noted that the design of the building did not take gender and diversity considerations into account, such as disability access, prayer spaces and breastfeeding spaces.

19. The proximity between the three Centres in virtue of being in the MdP has increased the collaboration between GICHD and the other Centres. The organisation of common events, such as Bâisseurs de Paix, as well as joint trainings, and working hubs help to support the exchange of best practices and knowledge management. A full discussion of the synergies between the Centres is detailed in Volume 1.

20. With another partner of the MdP, the GICHD has also developed an interesting and progressive model of cooperation with an organisation that shares some similar interests, the Small Arms Survey:

Figure 2.3 Options of cooperation between GICHD and SAS¹⁴



21. The proposed approach is related to the prevailing developments between the GICHD and the Small Arms Survey on *Ammunition Management*. It highlights the willingness and the interest of both organisation to join forces and develop synergetic initiatives aiming at a dedicated programmatic cooperation. A Memorandum of Understanding (MoU) between SAS and the GICHD details their respective capacities in the emerging theme of *Ammunition Management* and how they should be proceeding further with their respective tools, access, networks and project teams. The

¹⁴ Options for future cooperation between the GICHD and the Small Arms Survey, p.4 in Évaluation du Partenariat Stratégique de la Suisse avec le Small Arms Survey, DSH/DFAE, 2017

institutionalisation of a similar model can be a thoughtful model on how prospective joint initiatives could be developed between any Centre and any other interested entity in the symbiotic environment of the MdP. It should exclude a priori any further theoretical dream of seeing Centres enter into a merger for reasons that would be out their vested interest.

2.2 Effectiveness

Finding 6: GICHD Governance benefits from close interaction among Mine action stakeholders (EQ2.3, 2.4)

22. GICHD's Council of Foundation currently has 25 members from donor and affected countries. Meeting minutes demonstrate that the Foundation Council is engaged in providing strategic and financial oversight, as well as programmatic support for the Centre. The Foundation Council benefits from integrating both donors and hosts and recipient countries of mine action programmes, thus creating a constructive dialogue about the way policies, processes and programmes are to be implemented. However, the Foundation Council delegates most of its work to a Bureau which is seen as effective and is currently developing a new strategy for the Foundation Council to consider. As stated by a high representative of the Council, the perceived strength of the GICHD in the eyes of the Foundation Council is to rely on a strong mandate - it contributes to a clearly defined objective with a strong political legitimacy. Also states-parties are not interfering in any political debate but better focus on capacity building, standards support and development as well as information management. The fact that donor and mine-affected states are on the Advisory Board, as well as within the Foundation Council, facilitates an inclusive dialogue and focus on field needs: "The demining community is strong and works well together - states-parties and civil society organisations are at the table - this provides strong monitoring and accountability in the Community".

23. GICHD Advisory Board provides advice to both the Foundation Council and GICHD's management. Composed of a wide variety of experts from all national and international horizons¹⁵, they are all closely linked to the mine action sector, and broader humanitarian-development sectors, and ensure an adequate and effective representation of members from mine action programmes, international and non-governmental organisations, as well as commercial companies. The Advisory Board meets at least once a year, on the margins of important mine action meetings: "*The diversity and origins of its members play a key role in informing and sensitising the GICHD of most relevant topics of the day, evolving trends in the field of mine action and humanitarian disarmament, and best practices*".¹⁶ In addition, they play an informed and constructive function in reviewing GICHD's strategy and new project ideas, while also providing feedback on GICHD's work from the field and the mine action community.

Finding 7: Management processes are generally good, but internal communications could be improved. (EQ2.1)

24. Staff at GICHD are proud to work for the Centre and report that the working environment is positive. They believe that the current organisational structure, in tandem with the availability of core Swiss

¹⁵ Complete list of the GICHD Advisory Board can be consulted at https://www.gichd.org/who-we-are/governance/#.WrPneJrA_IU

¹⁶ GICHD Official

funding, means that they are flexible and able to respond quickly to emerging needs in the field, take advantage of opportunities and support unplanned activities. There is also a clear strategic direction, thanks to the existence of the strategic plans (2012-2014 and 2015-2018) and the integration of a results-based management (RBM) process (see finding 8 below). The 2015-2018 strategic plan in particular provides a well-defined vision of the strategic orientation of GICHD and how the outputs it produces are expected to lead to the Centre's Strategy outcomes and strategic objectives.

25. Several mechanisms and processes are in place to share information including Biannual review process of implementation at the country level; Joint planning activities across divisions for the following year; Regular staff meetings; Minutes of the management board; Informal breakfast meetings with staff; Internal weekly newsletter called 'Circle News' captures all activities being undertaken by the GICHD. Nevertheless, trends in the data suggest that internal communications could be stronger. A staff minority reported through the survey, SWOT and in interviews that they had difficulty understanding what other teams are doing (even when they were working in the same country) and that there were insufficient processes in place to share information across the organisation. Staff noted that the move to the Maison de la Paix has separated them out over three floors, creating divisions and some tensions between operational and administrative/support staff. Coordination between operational units was also identified as a weakness. Staff also reported that the management's decision-making processes were not always clear or transparent.

26. Capacity was also identified as an area where the Centre had issues, with the data suggesting that there is not enough delegation of authority away from management levels. Management reported feeling that they were spread too thinly, while operational staff perceived that the delegation of responsibilities and authority in the organisation was not optimal and that decision-making took a long time because decisions had to go through too many layers of management. More than one third of staff responding to the online survey disagreed (31%) or strongly disagreed (8%) that authority was delegated appropriately and one third (33%) was neutral on this point. Staff identified that they lacked project management skills and felt overburdened by administrative and financial tasks (see also finding 8 on RBM process).

Finding 8: The integration of Results based management (RBM) processes has been challenging for the Centre and the fruits of recent efforts to simplify the system are yet to be seen. (EQ2.2)

27. The 2015-2018 strategy establishes an RBM system with a results framework and indicators to support monitoring and reporting. This is an improvement on the 2012-2014 strategy, which did not give details of a system for monitoring the achievement of the strategic objectives. Other than annual reports, monitoring information for the 2012-2014 Strategy were not seen by the evaluation team. Activities are reported to the Foundation Council in bi-annual meetings and results are reported through annual reports and, under the current strategy, the 2016 Performance Report. The Performance Report is an internal document that reports on progress towards strategic objectives (Progress Review) and performance in selected countries (Country Review), against the results framework's baseline and target indicators, as well as providing a narrative about the obstacles that arose and adaptations to be made. This reporting system is supported by a Peer Review Process, which monitors outcome level results in country and collects lessons learned.

28. The integration of this RBM system has been challenging for GICHD. Operational staff were less positive about the process as a whole, stating that it took a lot of time, was a distraction from their main focus on projects and that they did not feel settled in the new system yet. In 2015, the Centre underwent a stocktaking exercise, which found the system to be too complex and imposing a heavy technical and administrative workload on staff who did not understand the relevance of the activity. The stocktaking

led to changes in the RBM process design in January 2016 aimed at simplifying the monitoring system. This led to the creation of a Steering Committee for RBM and the development of a four month change process, which was advertised to staff in an internal memo ("What's happening with RBM at GICHD Now?"). The process was conducted between January and May 2016 and developed a new 6 pillar RBM process, as well as new templates and guides for designing projects, Theories of Change, project-level monitoring systems, mid-term reviews, annual reviews and explanations on how the process fits into the annual cycle of the Centre. The GICHD therefore decided to concentrate its monitoring and evaluation efforts on measuring its contribution to change as defined throughout its nine Strategy Outcomes. In 2015 and 2016, the GICHD singled out seven so-called "Spearhead Projects"¹⁷ - those whose immediate outcomes contributed most directly to the Strategy Outcomes - and used them in a more focused means of measuring change, and therefore its progress towards those outcomes. Each Spearhead Project comes with its own monitoring and evaluation framework that provides a structure template for measuring progress against a set of immediate outcome targets.

29. The performance of this new system is beyond the scope of this evaluation. Management staff were positive about the new architecture and instruments that they had developed and felt that their staff were 'learning by doing' RBM.

Finding 9: GICHD is set to achieve a large majority of its expected outcomes. (EQ2.5, 2.7)

30. GICHD is making good progress towards meeting the strategic objectives established in the 2015-2018 Strategic Plan. Table 2.2 provides details.

Table 2.2 Degree of achievement of strategic objectives based on 2016 Performance Report

STRATEGIC OBJECTIVE	STRATEGY OUTCOME	PROGRESS
1. Convention obligations are fulfilled and/or completion targets reached 100% on track	1.1 National mine action strategies that are focused on measurable and sustainable results and that mainstream gender and diversity are developed, improved, implemented and monitored	On track The target was to "Increase NMAS assessment score on baseline score by two points in three countries" Results saw Afghanistan increase its score by 46 points and Sri Lanka increase its score by 39 points
	1.2 Greater clarity is achieved on the extent and impact of explosive hazards and their operational implications through improved information management	On track Baselines have been carried out
	1.3 Improved standards, methods and tools in mine action are applied, in particular in operational planning and land release	On track – same targets as Strategy Outcome 1.1

¹⁷ GICHD Outlook Report 2018, p. 2

STRATEGIC OBJECTIVE	STRATEGY OUTCOME	PROGRESS
2. Residual contamination is effectively managed through sustainable national processes 67% on track	2.1 Mine action structures successfully transition to sustainable national entities with capacity to address residual contamination	On track 1 national Mine Action Strategy incorporating residual contamination was approved in Sri Lanka 3 draft strategies are pending approval in Bosnia and Herzegovina, Cambodia and Zimbabwe 1 further assessment conducted in 2 European Countries
	2.2 Countries evaluate the overall risk from residual contamination based on evidence	Off track/delayed - baseline assessment undertaken in Sri Lanka – delayed implementation of Outcome activities due to time constraints and ongoing discussions regarding the definition of residual contamination and its implications for information management (p.32)
	2.3 National policies, procedures and practices are in place to respond adequately to the risks from residual contamination	On track Target not met (definition of residual contamination was endorsed by IMAS Review Board but not yet embedded into IMAS policy) but still on track because it is assumed that once the definition is agreed on, national authorities will embed it into their national policies/NMAS
3. Mine action is fully integrated into broader efforts to achieve human security 67% on track	3.1 Mine Action is perceived, planned and implemented such that it contributes to Human Security	On track Same as Strategic Objective 1
	3.2 Mine action standards, methods and tools are used to benefit human security	GICHD monitoring data not available. Similar to Strategic Objective 1
	3.3 Cooperation between mine action and other human security actors strengthened through platforms such as the Maison de la Paix	On track Collaboration with 19 human security actors, including DCAF and the Stockholm International Peace Research Institute

31. Monitoring information for the period before the 2015-2018 strategic plan was not available.

32. There are a number of external factors that both support and limit the effectiveness of the Centre in achieving its strategic objectives. These included:

- The political, social and economic circumstances and stability in the countries in which GICHD is working
- Responsiveness of national authorities in the countries in which GICHD is working and their openness to being influenced

- The variable degrees of ownership and engagement from national authorities
- The nature of partnerships with other organisations, e.g. Strong partnerships with clear goals vs shifting partner priorities
- Demand for GICHD services
- The difficulties in measuring some types of results, such as behavioural change.

Finding 10: Partnerships are crucial for GICHD's working model and the Centre has a strong network of local partners working to support national authorities in affected states. (EQ2.7.2)

33. Partnerships are crucial for GICHD's work to support states in mine action. The working model of GICHD is to work in partnership with national authorities in affected states and to increase the level and quality of cooperation on mine action.

34. The Centre provides technical training on specific projects, mainly on a short-term basis, by sending international expert staff to partner countries. Partnerships are used to implement decentralised projects and to enhance GICHD's relevance on the ground. During SWOT workshops, GICHD staff emphasised that they had strong networks and good outreach, with access to key actors in the mine action sector and a footprint in over 60 countries, without being present in the field. Through its Regional Cooperation Programme, GICHD convenes different stakeholders to share resources and experiences and provides support in French, Arabic, Persian and Russian.

35. In Lebanon for example, GICHD has built a strong partnership with the Lebanon Mine Action Centre (LMAC), a part of the Lebanese Ministry of National Defence established in 1998. GICHD signed a Memorandum of Understanding (MoU) with the LMAC in 2015 to facilitate cooperation on the management and coordination of the Arabic Language Outreach Programme for Mine Action, now called the Arab Regional Cooperation Programme (ARCP). The MoU will be renewed in 2018. LMAC interviewees highlighted GICHD financial and training support and mentioned several examples of this fruitful collaboration in regard to technical training, capacity building and IMAS compliance.

36. External stakeholders interviewed agree that GICHD is a centre of excellence and maintains a unique group of experts. The high quality of GICHD's staff is a consistent theme throughout this evaluation. The Centre's peers, partners and donors praised the competence and technical expertise and experience of the staff in consultations. The Centre has an international reputation for delivering high quality projects and services and staff recognise themselves as one of the Centre's important strengths.

Finding 11: The hosting of the implementation support units remains an asset for the promotion of the APMBC and the CCM objectives. (EQ2.7.3)

37. GICHD hosts and provides substantive, administrative and logistical support to the Implementation Support Units for the Anti-Personnel Mine Ban Convention (ISU-APMBC) and that of the Convention on Cluster Munitions (ISU-CCM). The GICHD does not include the costs relating to the activities of the ISU-APMBC as they are covered by the Trust Fund ISU-APMBC. However, the GICHD provides logistical and administrative support as well as general support such as infrastructure, logistics and administration services. Similarly, the GICHD budget does not include the costs related to the ISU-CCM activities as there are covered by the Trust Fund ISU-CCM. However, as host of the ISU-CCM, the GICHD provides logistical support for the operations of the ISU-CCM. In accordance with the spirit of the Hosting Agreement

between the States Parties to the CCM and the GICHD¹⁸, the nature of these organisations' responsibilities lends itself to further cooperation with GICHD. For instance, the ISU-APMBC and GICHD have partnered to support states parties in the development of their mine action strategic plans, while ISU-CCM has collaborated with GICHD to release the *Guide to Cluster Munitions*, which features updated information on the Convention's key obligations such as stockpile destruction and cluster munitions clearance, an aid to support states parties or states considering accession to the CCM.

38. The fact that the ISU-APMBC and the ISU-CCM are both present within the premises of the GICHD leads to obvious cooperative links and synergies amongst the three institutions. GICHD thematic areas interact evidently with the work being undertaken by both ISU. GICHD provides a pool of experts that both ISUs can consult. At the field level, GICHD supports the implementation of the APMBC and CCM with national mine action authorities. They also support State parties when extensions to the implementation of their conventional obligations (Article 5 of the APMBC) are required and when a technical assessment is required to support planning and decision making for the promotion and the adaptation of national mine action strategies. The presence of the Secretariat of the IMAS within GICHD also facilitates exchanges about their interpretation, evolution and change oriented process.

2.3 Efficiency

39. Efficiency is the extent to which a programme has converted its resources (funds, expertise, time) economically to achieve the maximum possible outputs and outcomes with the minimum possible inputs.¹⁹ It is not possible to put a monetary value on the outputs and outcomes achieved by GICHD as its activities to build capacity and disseminate knowledge are not readily quantifiable in monetary terms. Therefore, this section focuses on assessing aspects of the GICHD's cost-effectiveness, treating the outcomes as given and asking whether these could have been produced at lower cost.

Finding 12: GICHD has succeeded in diversifying its financial sources and has surpassed the minimum threshold set by the Swiss Confederation. (EQ3.1)

40. Swiss core funding for GICHD is a significant strength for the Centre. Secure funding from the Swiss Confederation supports medium to long term planning of the Centres activities and provides a comfortable cushion for responding to emerging needs with the required agility, developing into new areas and trying new things. In addition to the Swiss core funding, GICHD has met and surpassed its target of receiving at least 25% of its total contributions from donors other than Switzerland. The share has risen from 25% to 39% over the evaluation period (but reports are not yet ready for 2017). Table 2.3 provides details on the percentage of contributions from other sources over the evaluation period and the diversity of new donors that are engaged in supporting the Centre.

¹⁸ CCM/MSP/2014/INF/1, 31 July 2014

¹⁹ OECD/DAC. 2010. *Glossary of key terms in evaluation and Results Based Management*. Paris: Development Assistance Committee.

Table 2.3 Share of funds to GICHD by other donors (all numbers taken from annual Financial Reports to the Council of Foundation)

YEAR	TOTAL INCOME CHF	OF WHICH SWISS CORE CHF	% CONTRIBUTIONS FROM OTHER SOURCES	OTHER SOURCES
2014	11,960,771	8,938,781	25%	Australia, Denmark, Finland, Germany, Italy, Japan, Republic of Korea, Sweden, UAE, UK, USA, UNDP, UNMAS, UNOPS, DCAF, GCSP, OAS, South Oil Company, MAG, SAS, other income
2015	12,436,903	8,699,998	37%	Australia, Denmark, Finland, Germany, Italy, Sweden, UK, USA, OCHA, Arab Fund for Economic and Social Development, DCAF, GCSP, Humanitarian Demining Training Centre, SAS, In-Kind contributions
2016	14,151,357	8,920,739	39%	Australia, Germany, Italy, Japan, Mexico, Sweden, The Netherlands, UK, USA, Arab Fund for Economic and Social Development, City of Geneva, Esri, Foundation World Without Mines, Germany - OSCE, DCAF, GCSP, Helvetia Insurance, James Madison University, SAS, Spinator AB, IHEID, NATO, UNDP, UNMAS, OCHA
2017	Not yet available			

Finding 13: Financial resources are being used in an efficient manner, in line with national and international standards for financial management and control. (EQ3.2)

41. Overall, GICHD has efficiently allocated contributions across the evaluation period, with between 84% and 92% of budgeted funds being spent each year. 75% of staff responding to the online survey agreed that financial resources were being used in an efficient manner, in that they believed that the outcomes they achieved could not have been met with less financial resources and that the outputs of the projects they work on have been achieved on time. During the last strategy, significant efforts have been invested in order to improve financial information management. A new financial platform systematises the presentation of all recorded financial information and analysis to support project managers in the financial management of their programmes, as well as donor relations and communications. Each division is currently supported with a programme officer in charge of dealing with and improving financial data management and analysis. Donor coordinators throughout all divisions must carry on the management of multi-agreements with different reporting conditions, therefore the need to support financial information management with most updated information.

42. All independent financial audits during the evaluation period have found that GICHD's financial statements comply with Swiss law and the statutes of the Foundation, and that GICHD maintains a system of financial management and control confirming to generally accepted accounting principles. They also confirm that "The management board assesses the operative and strategic risks of the Foundation once a year (...) and the Bureau of the Council of Foundation is informed by the management on a periodic basis

of any significant risks or issues facing the Foundation". The "Swissness" of the Treasury function is sometimes questioned, because the position is more of diplomatic nature than one of financial capacity.

43. In addition to the verification and recommendations of the auditors, the GICHD also receives firm recommendations from external donors, some undertaking specific audits in order to invite the Centre to rationalise some of its functions. As an illustration, Sweden issued recommendations regarding the management of external consultants and the reinforcement of communication functions. Proposals heading to the creation of a roster of consultants and the development of a contracting²⁰ regime to ensure sustainability with a pool of highly specialised but limited resources.

Finding 14: GICHD's efficiency is somewhat undermined by high staff turnover and by ambiguous delegation of responsibilities. (EQ3.3).

44. Overall, the data highlights a significant turnover within the Centre, especially among junior staff and in operations. This trend could be explained by some discrepancies between planned budgets and actual spending in the financial reports. Internships and Junior Professional Officer Programmes are, by definition, short-terms contracts. GICHD management does not mobilise the necessary resources to attract and retain top talent. A consequence of high staff turn-over is the loss of institutional memory and working relationships, which has a negative effect on the efficiency of the organisation. This is supported by notes in the financial reports attributing discrepancies between planned and actual spending to changes in staff or unfilled positions.

45. Concerning the ratio of core to external staff, data on "Consultant Costs vs payroll" in the Financial Reports, suggests that the ratio is around 1:3 with CHF 19 million spent on staff payroll vs CHF 7 million on consultants between mid-2014 and mid-2017.

46. Staff survey and SWOT also found that there was dissatisfaction with the apportioning of responsibilities across the organisation. After the period covered by the evaluation, GICHD revisited its organigram in order to concentrate strategic decisions in the hands of a core strategic management team, thus giving more leeway to the operational departments for the management of the daily operations. However, staff survey feedback notes that there has been some clashing level of authority between project managers, programme officers and donor coordinators. 26% of survey respondents agreed that there is some level of duplication of roles and functions among staff.

2.4 Sustainability

Finding 15: GICHD's focus on establishing national standards, policies and strategies supports the achievement of lasting change. (EQ4.1)

47. While staff emphasised that they experience difficulties in measuring and ensuring the sustainability of the results of their work due to the lack of in-country presence or remote monitoring system, the nature of GICHD's work favours lasting change. GICHD's partners, peers and donors recognised GICHD's work to establish national standards, reviews and strategies, including the Swiss Mine Action Strategy 2016-2019, do lead to meaningful and long-term outcomes in the targeted countries. Stakeholders also noted that they had applied and shared the knowledge they had gained through the

²⁰ Within GICHD, specialised consultants represent some 18/19% of the Centres expenses.

trainings and events led by GICHD. They also recognise GICHD's "readiness and capacity to look into contemporary challenges in domains adjacent to mine action (...), their technical expertise and institutional knowledge, providing a long-term perspective on changes in mine action as a base for a strategic outlook".

48. The sustainability of these efforts is supported by the technical expertise of the GICHD staff, good cooperation and networks in the mine action community, a practice of open consultation and information sharing with stakeholders and the flexibility to respond to developing needs, thanks to the availability of core resources provided by the Swiss contributions. The functional complementarity that prevails between the Centre and the ISUs and the IMAS Secretariat guarantees dialogue continuity and information sharing among primarily interested stakeholders in mine action.

49. Also, the central role that GICHD plays by hosting the Secretariat of the International Mine Action Standards (IMAS) continues to position the GICHD at the heart of policy debates and interaction among all international stakeholders playing a role in the development of international standards. GICHD has had some difficulties in fully undertaking this role for pure Human Resources constraints and work intensity. The "50% position" who supported negotiation and revision processes along the international standards of mine action proved to be insufficient to carry out such an increasing task. Mine action remains an open field of standardisation: "Recent discussion within the mine action sector has focused on how IEDs are defined in relation to relevant treaties, IED Disposal competency levels and whether the IMAS need to be revised and updated to effectively cover all aspects of IEDD"²¹.

²¹ Assessment, op. quoted, p. 16

3 Conclusions

50. For 20 years, the Geneva International Centre for Humanitarian Demining has played a unique role in mine action. Perceived internationally as a centre of excellence, the GICHD promotes international norms and standards and provides capacity development and advisory services on all aspects of mine action. In only two decades, GICHD has built a solid reputation through a highly-skilled and committed pool of experts. The location of Maison de la Paix in the heart of international Geneva fosters the access to renowned networks related to the field of mine action.

51. Consequently, the organisation's structure and spirit are imbued with Swiss values of independence and neutrality. The scope of GICHD's work is aligned with the content of the Swiss framework credits and the Swiss Confederation remains the main donor of the centre. However, despite this undeniable "Swissness" of the Centres, GICHD has steadily improved its capacities in diversifying its financial resources. The integration of RBM, policies and principles in the management of GICHD's operations has improved the Centre's efficiency and accountability.

52. Competition in the field of mine action is both a challenge and a threat for GICHD effectiveness on the ground. Considering the multiplying war areas, GICHD faces an increasingly number of requests from many different national authorities. Its centralised structure and Geneva-based resources are sometimes not enough agile and sufficient to respond effectively to external solicitations.

53. An enhanced presence of GICHD on the ground is often mentioned as a realistic proposal to work closer to national stakeholders and partnering organisations. In addition to strengthening local partnerships, regional offices could also participate in promoting other areas of expertise and identifying new trends in the field.

4 Recommendations to GICHD

Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.

Priority: Short-term

Findings: 8, 15

54. There have clearly been insufficiencies - or underestimation - in the level of effort that is required at both levels of the management of the IMAS Secretariat as well as with the RBM position. Development, revision or updating of new Standards, as well as complete and progressive integration of RBM policy and programme principles within GICHD require an ongoing expertise that can hardly be opposed or shared with other important responsibilities. Therefore, there is a need to ensure that continuous investment is maintained and pursued in these two crucial fields of expertise to the GICHD.

Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.

Priority: Medium-term

Findings: 3

55. The Gender Mine Action Programme has effectively supported Gender mainstreaming into GICHD's programme and initiatives. Most of the consulted internal and international stakeholders do not understand the rationale of keeping the GMAP as a separately funded entity and believe that its integration is in line with the expanding role of Gender issues within the Mine action (and more broadly Security) field.

Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of decentralised regional teams (technical/policy/standards).

Priority: Long-term

Findings: 4, 10

56. Different GICHD and external stakeholders have been advocating strongly for a "regionalisation" of GICHD work, inviting expert, policy makers, norms specialists and capacity-building specialist to be closer to their partners and constituents. GICHD favours an "in and out" approach, which does not often satisfy continuous ongoing needs of growing partners. Different pilot approaches could be initiated to experiment the added value of this pragmatic and needs-based recommendation.

Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

Priority: Long-term

Findings: 5

57. GICHD has successfully developed fruitful and constructive partnerships in the field of Ammunition Management, including on the promotion and implementation of the International Technical Guidelines on Ammunition Management. GICHD senior management, with Bureau and Foundation Council support, should envisage strengthening substantially its capacities to respond to increasing needs and requests on this issue.

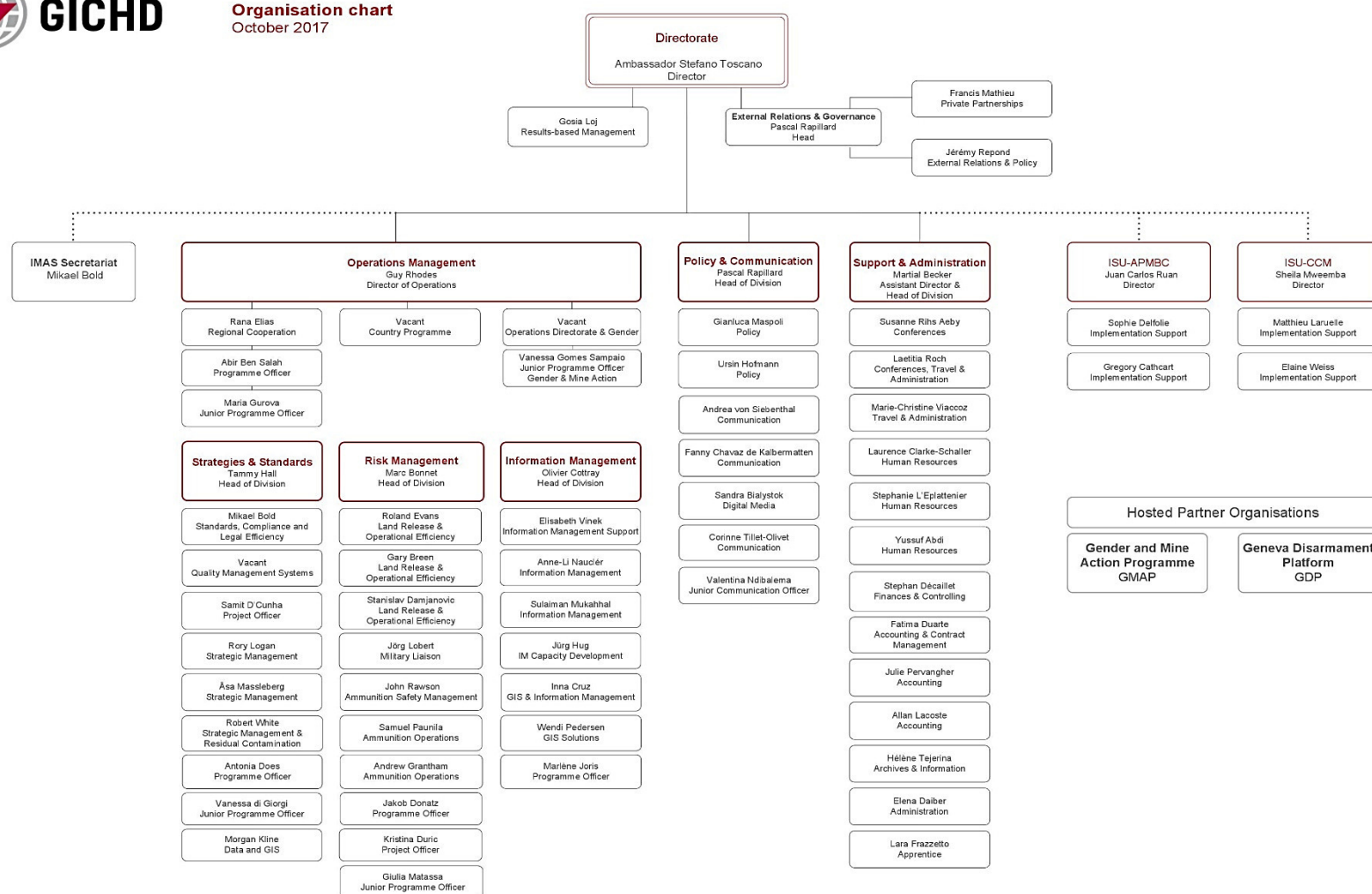
Appendix I List of Findings

- Finding 1: GICHD plays a unique role in mine action and is positively perceived internationally. (EQ1.3)
- Finding 2: The scope of GICHD's work remains aligned with the Swiss framework credits. However, GICHD's strategy is not in line with the periods covered by the framework credit. (EQ1.1, 1.2 and 1.7)
- Finding 3: GICHD is particularly strong in terms of the integration of gender and diversity considerations, although the institutional separation between GICHD and the Gender and Mine Action Programme is not optimal. (EQ1.5)
- Finding 4: While the location of GICHD in Geneva is a key strength in terms of the Centre's identification with Swiss values of independence and neutrality, the lack of field presence sometimes hinders the Centre's response. (EQ1.1, 1.7)
- Finding 5: The move to the Maison de la Paix (MdP) has had a mainly positive effect on GICHD's work and its collaboration with the other Centres (EQ1.4)
- Finding 6: GICHD Governance benefits from close interaction among Mine action stakeholders (EQ2.3, 2.4)
- Finding 7: Management processes are generally good, but internal communications could be improved. (EQ2.1)
- Finding 8: The integration of Results based management (RBM) processes has been challenging for the Centre and the fruits of recent efforts to simplify the system are yet to be seen. (EQ2.2)
- Finding 9: GICHD is set to achieve a large majority of its expected outcomes. (EQ2.5, 2.7)
- Finding 10: Partnerships are crucial for GICHD's working model and the Centre has a strong network of local partners working to support national authorities in affected states. (EQ2.7.2)
- Finding 11: The hosting of the implementation support units remains an asset for the promotion of the APMBC and the CCM objectives. (EQ2.7.3)
- Finding 12: GICHD has succeeded in diversifying its financial sources and has surpassed the minimum threshold set by the Swiss Confederation. (EQ3.1)
- Finding 13: Financial resources are being used in an efficient manner, in line with national and international standards for financial management and control. (EQ3.2)
- Finding 14: GICHD's efficiency is somewhat undermined by high staff turnover and by ambiguous delegation of responsibilities. (EQ3.3).
- Finding 15: GICHD's focus on establishing national standards, policies and strategies supports the achievement of lasting change. (EQ4.1)

Appendix II List of Recommendations

- Recommendation 1: GICHD should ensure that IMAS and RBM positions are fully filled, in order to continue the RBM integration process within the organisation and reinforce the IMAS Secretariat leading role in international standards development.
- Recommendation 2: GICHD should materialise an effective and solid integration of GMAP, with the support of donors, stakeholders and Switzerland.
- Recommendation 3: To better serve clients and stakeholders, GICHD should consider the creation of decentralised regional teams (technical/policy/standards).
- Recommendation 4: GICHD should capitalise on its advanced work on IATG to invite donors and interested stakeholders to support dedicated capacities on Ammunition Management.

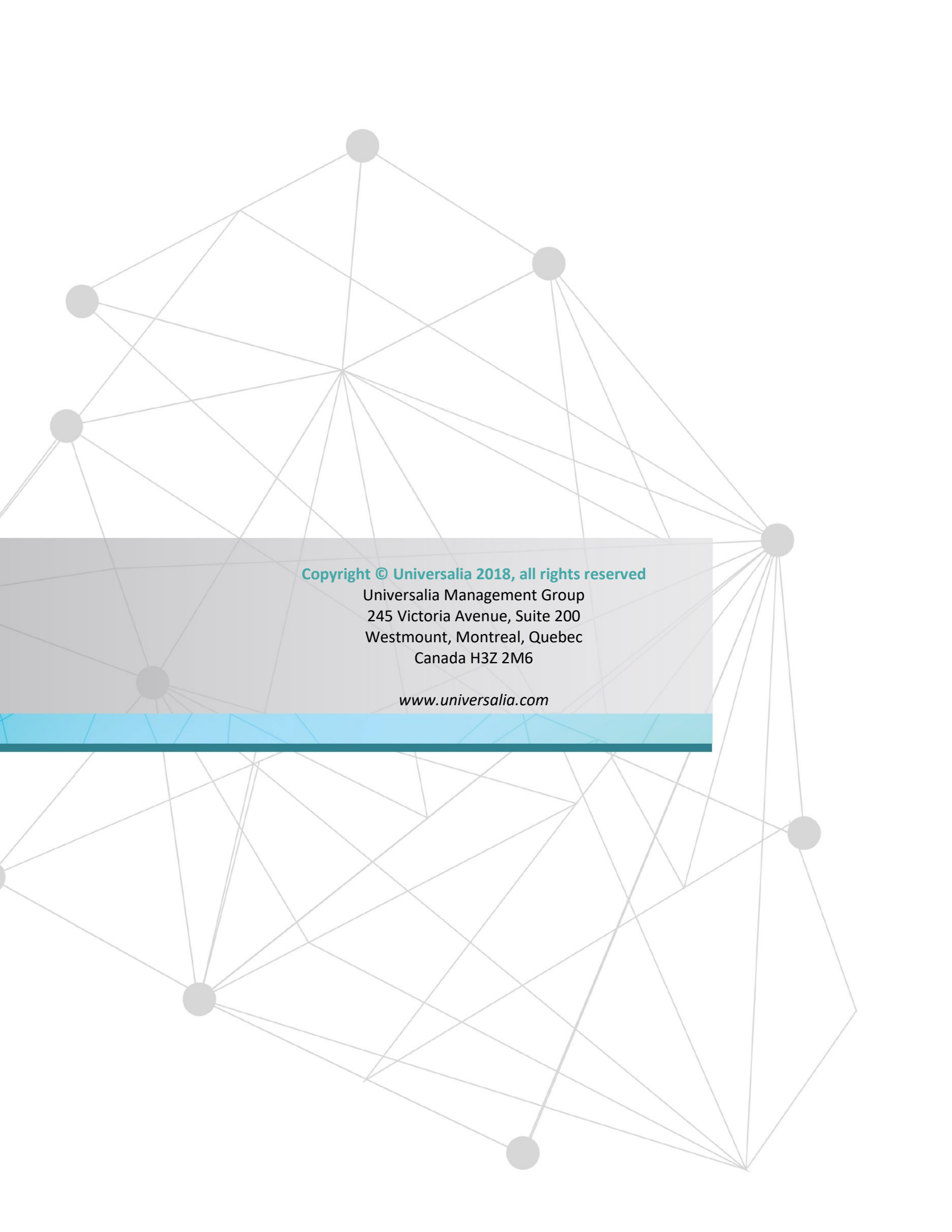
Appendix III GICHD Organigrams


GICHD
Organisation chart
October 2017


External Evaluation of the Geneva Centres

Volume 5: Vignettes

FINAL REPORT | MAY 2018



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1 At a Glance: Geneva Centres in Lebanon

Executive Summary

1. For the past decade, Lebanon has been an indispensable partner of the Geneva Centres; DCAF having established a country office in Beirut in 2008 and GICHD having developed strong partnerships with a key national mine action actor, the Lebanon Mine Action Centre (LMAC). Lebanon is geopolitically central in the Middle East, and security sector governance and mine action are crucial issues to be continually addressed to give some guarantee to the Lebanese population of some security and national stability, emphasising the importance of the activities and engagements of DCAF and GICHD in the country. This vignette will explore the relationship which the two Geneva Centres, DCAF and GICHD, have among key actors in Lebanon. We will examine the strong potential of the Geneva Centres in the country, why that potential hasn't been fully realised, and how it could be strengthened over the next several years with an increased on-the-ground presence.

1.1 Introduction

2. The purpose of this vignette is to summarise DCAF and GICHD activities in Lebanon via a virtual mission' conducted in March 2018 by Universal Management Group, as part of a larger Evaluation of the three Geneva Centres'. The selection of Lebanon as a case study was a joint decision between the evaluation team and the Human Security Division of the Swiss Confederation's Federal Department of Foreign Affairs (FDFA). We would like to thank all GICHD and DCAF staff interviewed, as well as their partners and stakeholders in Lebanon, who contributed to the presentation of this vignette.

1.2 Country context and Centres' engagement in country

1.2.1 Overall context in Lebanon

3. Lebanon is at the heart of regional and international dynamics and power relations in the Middle East. Since the Arab Spring in 2011 and the start of the conflict in Syria, Lebanon has hosted more than 1.5 million Syrian and Palestine refugees accounting for 30% of Lebanon's population¹. Thus, the internal

¹ European Commission, European Civil Protection and Humanitarian Aid Operations, Lebanon, 2018
https://ec.europa.eu/echo/files/aid/countries/factsheets/lebanon_syrian_crisis_en.pdf

socioeconomic situation has been deeply impacted by the ongoing crisis of its' Syrian neighbour² while the security in the country remains delicate and is constantly faced with the threat of external extremist actions.

4. Socioeconomically, Lebanon is faced with several interconnected challenges. With the highest per capita population of refugees in the world, Lebanon faces several challenges in the fields of education, health, women's rights and food security, amongst others. The national unemployment rate has remained high for the past decade (between 6.2% and 6.7%), with an estimated 250,000 to 300,000 Lebanese citizens being made unemployed since 2011, mostly young people and women³. These challenges in addition to high competition for low-skilled work have contributed to increased poverty and income inequality nationally⁴.

5. The context further aggravates a historically complex political situation, as differing political factions in Lebanon align themselves with different parties involved in the Syrian conflict. Nationally there have been periodic demonstrations calling on the government to address governance challenges such as ending corruption, strengthening transparency and holding national institutions accountable. 2018 has seen protests against the parliament's decisions to extend the government's mandate by postponing parliamentary elections. As a result, trust in the state and government legitimacy is low amongst the population, increasing concerns amongst international observers of the political stability in the country.

6. 40 years of intermittent internal and regional conflict with and in surrounding countries has resulted in mines and other explosive remnants of war (ERW) (including cluster munitions) presenting a continual danger to Lebanese peace, safety and security⁵.

7. Three phases of mines contamination have marked Lebanese history⁶:

- 100,000 mines and unexploded ordnances and cluster bombs remain from the civil war (1975-1990) and the Israeli invasions of 1978 and 1982;
- 550,000 anti-personnel and anti-tank mines have been left by Israeli army in 2000, after an 18-year occupation of South and Western Bekaa;
- 1 million of cluster munitions of the 4 million dropped by Israel during the 2006 conflict.

8. Considering this context, security sector governance and mine action are crucial issues to guarantee Lebanese population security and national stability.

² Zeinab Cherri, Pedro Arcos González, and Rafael Castro Delgado, 2016, The Lebanese-Syrian crisis: impact of influx of Syrian refugees to an already weak state, *Risk Management and Healthcare Policy* <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4948691>; The World Bank in Lebanon, 2017, <http://www.worldbank.org/en/country/lebanon/overview>

³ The World Bank in Lebanon, 2018 <http://www.worldbank.org/en/country/lebanon/overview#1>

⁴ The World Bank in Lebanon, 2018 <http://www.worldbank.org/en/country/lebanon/overview#1>

⁵ GICHD, Transitioning Mine Action Programmes to National Ownership, Lebanon, 2012 <https://www.gichd.org/fileadmin/GICHD-resources/rec-documents/Transition-Lebanon-CaseStudy-Mar2012.pdf>

⁶ Lebanon Mine Action Center <http://www.lebmac.org/en/Whoweare/3>; Mine Action Review, Lebanon, 2017 http://www.mineactionreview.org/assets/downloads/Clearing_Cluster_Munition_Remnants_2017_Lebanon.pdf

1.2.2 Centre engagement and objectives

DCAF

9. Lebanon joined DCAF in 2007 as the first member from the Arab region. DCAF opened its office in Beirut in 2008 following an invitation from the Government of Lebanon, and was granted diplomatic status⁷, with a yearly budget of CHF 600,000. The main donor to the office includes the Swiss Embassy in Beirut. DCAF also engage with the embassies of Germany, Canada, Norway and the Netherlands regularly. The DCAF office currently has two staff members: A Senior Project Manager and an Administrative and Logistical Support Officer.

10. Nationally, DCAF assists and supports reform initiatives undertaken by the President of the Republic, the Prime Minister's Office, the Ministry of Justice, the Ministry of Interior, the Internal Security Forces, the Armed Forces, the Parliament and the Judiciary. It also works with CSOs, research institutions and the media.⁸

11. During the evaluation period, the office focused on two parallel programmes of work: security sector reform (SSR) (including internal security forces and police governance) and the justice system (including governance, human rights and access to information).

12. Interviews with key stakeholders in Beirut have shown that due to political instability in the country the DCAF international presence has drastically decreased, and with it the scope of its activities. DCAF discontinued larger activities and kept only local staff (under a consultancy contract) to maintain the office and continue dialogue on the ground. With the presidential elections in the end of 2016, relations with the government have improved until 2017.

13. On this new basis, DCAF's country strategy for Lebanon for 2017-2019, states that "DCAF's mission is to further security, democracy, rule of law and human rights through the development of good justice and security sector governance." Through the new strategy, DCAF will seek to: support Lebanese institutions in ensuring respect for human rights; support communication and information sharing; provide regulatory assistance; support security and justice providers in managing change; and develop and implement strategies to prevent violent extremism.

GICHD

14. GICHD mostly engages with Lebanon through the Lebanon Mine Action Centre (LMAC), a branch of the Ministry of National Defence established in 1998. LMAC's mission is to manage mine action activities, including survey and clearance, mine risk education, victim assistance, stockpile destruction and advocacy in Lebanon. It also works to ensure the provision of administrative and logistical support to facilitate the work of all mine action organisations working in Lebanon. GICHD signed a Memorandum of Understanding (MOU) with the LMAC in 2015 to facilitate cooperation on the management and coordination of the Arabic Language Outreach Programme for Mine Action⁹, which is now called the Arab Regional Cooperation Programme (ARCP).

15. The MOU, set to be renewed in 2018, establishes joint responsibility for strengthening cooperation and developing capacities of national mine action authorities of Arabic-speaking countries. Where possible, it will help in raising funds and plans for the transfer of responsibility for the ARCP to

⁷ DCAF Country Strategy in Lebanon 2017-2019, p.3.

⁸ DCAF, Lebanon <https://www.dcaf.ch/lebanon>

⁹ MoU between Ministry of National Defense represented by LMAC and GICHD, 2015.

LMAC. The LMAC 2016 Annual Report states that the ARCP was formally handed over to LMAC in 2016, giving Lebanon the opportunity to plan, manage, coordinate and implement the ARCP's activities with support of the GICHD¹⁰. Under the framework of the MOU, LMAC hosted three ARCP events in 2016. 11 Arab countries affected by mines, cluster munitions and ERW participated in the ARCP activities. The LMAC director visited the GICHD in April 2017 to discuss further areas of collaboration and the regional strategy that will help serve as a roadmap for the next phase of the ARCP beyond 2018.

16. During that visit, discussions also addressed country-specific requirements within the framework of the International Mine Action Standards, and support in further developing the Lebanese National Mine Action Standards (support provided after the timeframe of the evaluation).

17. Beyond the GICHD's partnership with LMAC in the realm of fostering regional cooperation, it has also assisted LMAC, through its technical support, in making progress towards meeting obligations under international law.

GCSP

18. Lebanon is not a member of GCSP Foundation Council and is represented in GCSP Alumni community with no more than 55 members who have participated in various short courses. GCSP has currently no partnership with Lebanon institutions.

1.3 Relevance

DCAF

19. Relevance of DCAF in the country can be demonstrated by several significant elements:

- Existing needs: rule of law, justice institutions and armed forces weaknesses, but also insufficient legal framework and serious deficits in transparency and accountability, can be addressed with an external and neutral support like DCAF provides;
- Approach: DCAF is committed to favour a long-term approach to reforms, adapted to the constantly-changing context. Moreover, the centre prioritises participatory approaches and dialogue, through awareness-raising.¹¹
- On the ground partnerships and connections: DCAF works closely with national authorities and civil society, which nurtures trust-based relationships with local partners; while also maintaining a strong connection with the Swiss embassy in Beirut.

20. Stakeholder interviews have shown tangible results from DCAF efforts. In a joint-developed program with the Ministry of Justice focused on improving communication with civil society and citizens, the Ministry developed a sharpened focus on service delivery and communication through the development of a new website. This website was launched in June 2017 and technically supported by DCAF, in order to improve transparency and access to information¹². Stakeholders in Beirut have also informed the evaluation team that there is a strong potential for DCAF to support Lebanon in strengthening governance structures with the Ministry of Interior through new activities. These could help

¹⁰ LMAC, Annual Report 2016, 2017 <http://www.lebmac.org/en/OurPublications/2>

¹¹ DCAF Country Strategy in Lebanon 2017-2019.

¹² Lebanese Ministry of Justice website, <https://www.justice.gov.lb/3>

support Lebanon in strengthening government legitimacy and increasing capacity of its' service delivery. These present and future opportunities show that even with a decreased in-country presence, DCAF continues to play a role in national political stability.

GICHD

21. As reported by the Mine Action Review¹³, Lebanon's performance in survey and clearance of areas affected by cluster munition remnants and by anti-personnel mine is still critical. Considering these low results, coupled to the upcoming deadline of Lebanon under the Convention on Cluster Munitions (CCM), to which Lebanon is a State party, to complete clearance of all cluster munition remnants in areas under its jurisdiction or control as soon as possible, but not later than 1 May 2021, support from international partners like GICHD is essential for LMAC and national authorities.

22. The MENA region is suffering highest levels of contamination from mines and explosive remnants of war whereby the exchange of know-how and good practice at the regional level bear ever more importance. The support of the GICHD towards developing capacities at LMAC to eventually assume the direction of the ARCP proved to be highly relevant, also in light of the absence of any other regional organisation engaged in nurturing regional cooperation in mine action. Due to GICHD support, LMAC has been able to lead the ARCP since 2016, which resulted in increased local ownership, a number of multipartite platforms for technical exchanges among countries from the MENA region as well as bilateral cooperation among those countries such as, for example, between Libya, Egypt, Sudan and Lebanon respectively, facilitated through the ARCP.

1.4 Effectiveness

DCAF

23. DCAF activities in Lebanon are split in two main components: the first, concerning the security sector reform and the second focusing on the justice system. Four main projects are being implemented with the Ministry of Justice: 1) Parliamentary Support Program; 2) Ministry of Justice Support Program; 3) Implementation of new laws; and 4) Assuring responsibility for prison management.

24. With the Ministry of Interior, projects include the implementation of an Internal Control Mechanism within internal security forces. DCAF supports bringing the mechanism into implementation by asking questions to see what the current status is and how can it be improved.

25. The main challenge for DCAF development and effectiveness in Lebanon is related to a national political situation which remains highly unstable. Additionally, DCAF's program in Lebanon also faces an overall lack of resources:

- Material Resources: The Lebanon Program relies predominantly on project funding (with some support from core funding);
- Human Resources: With two staff in Beirut on consultancy contracts, and due to political sensitivity reasons, it is very complicated for DCAF to approach national authorities. Meanwhile, it is crucial for DCAF to retain a neutral position.

¹³ Mine Action Review, Lebanon, 2017 <http://www.mineactionreview.org/country/lebanon>

GICHD

26. GICHD activities in Lebanon are focused on providing support to LMAC in the field of information management and operations. This support mainly takes the form of advice and capacity development.

27. Several examples of GICHD support have arisen during interviews with LMAC staff and document reviews:

- Provision of good practice documents and guidance on Mine Action, including through translation to Arabic
- Help in planning and organising training and workshops
- Providing trainers from their pool of experts
- Inviting LMAC representatives to international conferences and events in Geneva including sponsorship
- Developing LMAC capacity, through tailored training of LMAC staff and via remote support for the assumption of LMAC leadership of the ARCP, as well as on thematic issues such as information management and land release
- Fostering LMAC presence in Mine Action networks, internationally and through the ARCP

28. GICHD provide technical assistance in Lebanon: Information Management and Risk Management. The Information Management division has supervised several evaluations and supported the implementation of the Information management system for mine action (IMSMA), along with the development of Information Management work plan. The Information Management division has also provided frequent IM capacity development through the provision of training, including of 8 Lebanese staff between 2015 and June 2017. The Risk Management division has provided assistance and training in land release in particular, most recently in 2016 aimed to accelerate implementation of art. 4 of the CCM.

29. Despite this ongoing support from GICHD to its main partner in Lebanon, LMAC, we observe that most of the activities are not effectively monitored and documented. For example, on the GICHD website, we didn't find any online documentation, reports or evaluations on GICHD activities in Lebanon published after 2012. The most recent being the "Transitioning Mine Action Programmes to National Ownership"¹⁴, published in 2012. Moreover, one comment was made on what GICHD could improve to support LMAC activities in Lebanon: there is a real need in the country to train officers and soldiers, trainings could be even more numerous and longer.

¹⁴ "Transitioning Mine Action Programmes to National Ownership", 2012
<https://www.gichd.org/resources/publications/detail/publication/transitioning-mine-action-programmes-to-national-ownership-lebanon/#.WrJ2lujwbGg>

1.5 Synergies

1.5.1 Synergies between Geneva Centres

30. All interviewees agreed that no synergies exist between Geneva Centres in Beirut. Despite the presence of the DCAF office and of a GICHD implementing partner, LMAC, joint activities are non-existent. DCAF staff mentioned that sometimes they have MENA working groups or luncheons with GCSP in Geneva, but it is very limited as GCSP doesn't have any activities in Lebanon.

1.5.2 Synergies with Swiss Confederation Security and Foreign Affairs

31. The DCAF office in Beirut maintains a strong connection with the Swiss Embassy in Lebanon, along with other funders such as Germany, Canada, Norway and Netherlands. Informing and communicating their activities to donors are priorities for DCAF.

32. As GICHD doesn't have an office in Lebanon, there is no synergy to be mentioned on the ground, except that Swiss government is also an important donor for LMAC. However, a Swiss representative is generally invited to take part in and often delivers an address at the opening ceremony of ARCP events.

1.6 Stakeholders interviewed

DCAF

Middle East and North Africa Division, HQ

AYOUB, Ayman, Deputy Head of MENA Division

LUETHOLD, Arnold, Assistant Director, Head of MENA Division

Lebanon Office, Beyrouth

KAYS, Rabih, Senior Project Manager

Expert

RETELLINI, Jean-Pierre (Dr.), Medical Examiner

GICHD

Operations Management, HQ

ELIAS, Rana, Regional Cooperation Coordinator

Lebanon Mine Action Center (LMAC), Beyrouth

NASR, Ziad (Brig. General), Director

MASSIH, Marie Abdel (Colonel), Media & Mine Risk Education Section Head

LABABBIDI, Ahmad (Colonel), Programme Coordinator

2 L'action de DCAF au Mali

Sensibiliser, Répondre et Appuyer les réformes

Résumé exécutif

33. Le Centre *Democratic and Control of Armed Forces* (DCAF) est engagé auprès du gouvernement malien depuis 2014, dans un contexte complexe lié aux troubles sécuritaires que traverse le pays depuis 2012. Afin d'appuyer la mise en œuvre de l'Accord d'Alger signé en 2015, les équipes du DCAF apportent leur expertise pour renforcer les capacités des différentes parties prenantes en matière de RSS : l'Inspection du Ministère de la sécurité publique de et de la Protection civile (ISPCC), la Commission nationale de la RSS (CNRSS), l'Assemblée nationale du Mali, la Gendarmerie et la Police nationales du Mali, sans oublier les organisations de la société civile. DCAF met un point d'honneur à l'appropriation et la participation des différents acteurs au processus de réforme du secteur de la sécurité, ainsi que dans les activités d'information et de sensibilisation à celle-ci. Ainsi, la stratégie de DCAF au Mali repose sur cinq éléments principaux, interdépendants les uns des autres :

- Apporter une expertise technique en privilégiant écoute et flexibilité,
- Favoriser l'appropriation nationale et s'engager auprès de tous,
- Renforcer la coordination entre les différents acteurs du secteur,
- Appuyer une participation accrue de la société civile dans le secteur de la RSS,
- Déterminer la présence de DCAF au niveau local.

34. Ces lignes directrices représentent un défi pour DCAF, seul Centre de Genève présent au Mali¹⁵. Poursuivre son appui au gouvernement malien, tout en sécurisant ses travaux dans une perspective à long terme, est donc une priorité pour DCAF, qui doit veiller à favoriser participation et inclusion des multiples parties prenantes dans ses activités.

Executive Summary

35. The Centre *Democratic and Control of Armed Forces* (DCAF) has been engaged with the Malian government since 2014. The context is complex due to significant security issues experienced by the country over the past six years. DCAF staff in Bamako and Geneva support the implementation of Algiers Accord, signed in 2015, by providing expertise and build the capacities of multiple stakeholders in the SSR field: *l'Inspection du Ministère de la sécurité publique de et de la Protection civile* (ISPCC), *la Commission nationale de la RSS* (CNRSS), Mali National Assembly, National Gendarmerie and Police, and civil society organisations. DCAF focuses on the participation of these actors in the SSR reform process, as well as in information and awareness activities related to it. DCAF's strategy is based on five interdependent elements:

- Bring technical expertise by emphasising listening and flexibility,

¹⁵ L'engagement du GICHD s'est opéré sous la forme du renforcement de capacités: une formation standard IMSMA A1 s'est donnée en français à Bamako au service d'UNMAS au Mali.

- Foster national ownership and commitment among all stakeholders,
- Strengthen coordination between SSR stakeholders,
- Promote increased participation of civil society in the SSR field,
- Increase DCAF's presence at the local level.

36. DCAF is the only Geneva Centre involved in Mali and this strategic direction is challenging¹⁶. DCAF's needs to continue to ensure the sustainability of its activities in support of the Malian Government, while also striving to include multiple types of stakeholders in its work.

2.1 Introduction

37. La présente note est le fruit d'une mission conduite au Mali par Universal Management Group, du 8 au 12 mars 2018, à Bamako, dans le cadre de l'Évaluation des Trois Centres de Genève. Le choix du Mali comme l'un des pays sujets à une mission d'étude pour étudier le travail de l'un des trois Centres, en l'occurrence le *Democratic Control of Armed Forces* (DCAF), est une décision commune à l'équipe d'évaluation et à la Direction de la sécurité humaine (DSH) du Département des affaires étrangères de la Confédération helvétique (DFAE). Nous souhaitons remercier ici les cadres de DCAF présents sur le terrain au moment de notre passage pour l'organisation du programme de visites tout comme la qualité, diversité et représentativité des intervenants rencontrés.

38. Nous avons aussi décidé de donner à ce rapport une touche spéciale. Le rapport complet de l'évaluation des trois centres a été préparé en langue anglaise. Par contre, tous les entretiens tenus dans le cadre de la mission d'étude, comme les principaux documents consultés (Accord d'Alger (2015), documents de différentes parties (Gendarmerie du Mali, ISSPC, etc.), sont en français. Pour ne pas dénaturer la nature des propos enregistrés, tout en nous assurant que la présente vignette soit accessible dans une langue officielle de la Confédération helvétique, nous avons pris la décision d'écrire cette dernière en langue française. Un résumé exécutif en langue anglaise permet de faire la synthèse des propos présentés par après.

2.2 Contexte

39. Le Mali tente depuis 2013 de se relever d'une crise militaire, politique et institutionnelle grave. En janvier 2012, un certain nombre de groupes indépendantistes, bientôt rejoints par des groupes de nature *djihadistes* déclenchent des hostilités contre le pouvoir central. L'armée malienne est vite dépassée par les événements. Un coup d'état militaire (mars 2012) laisse la voie libre aux groupes rebelles qui s'emparent des grandes villes du nord du pays, jettent des centaines de milliers de réfugiés sur les routes. Cet événement engendre une guerre entre indépendantistes et *djihadistes*, pour finalement ouvrir la voie à une intervention internationale. Initialement menée par la France (janvier 2013), cette dernière se poursuit avec l'intervention de plusieurs pays de la CEDEAO. La Mission de stabilisation du Mali est

¹⁶ GICHD involvement in Mali took place with the delivery of a Standard IMSMA A1 training in French in Bamako and tailored to one specific programme: UNMAS Mali.

créée (MISMA) remplacée six mois plus tard par la MINUSMA¹⁷, Mission des Nations Unies au Mali (juillet 2013). L'Union européenne n'est pas en reste et développe la mission de formation de l'Union européenne au Mali (EUTM)¹⁸ en appui à l'armée malienne. L'arrivée de forces internationales permet la tenue d'élections présidentielles et législatives en 2013, celles-ci étant le préalable nécessaire à la relance de l'état de droit, le retour du jeu démocratique, et le lancement de la réforme des institutions de défense et de sécurité. Conclusion de plusieurs mois de négociation, et appuyée par une forte mobilisation internationale, la signature de l'Accord d'Alger¹⁹ vient donner à tous les acteurs politiques et militaires la possibilité de se mettre d'accord sur une feuille de route qui leur soit commune.

40. De fait, les dispositions de l'Accord d'Alger sont loin à ce stade (mars 2018) d'avoir été toutes appliquées. Mais, dans le cadre de l'analyse qui va suivre, relative aux travaux du DCAF au Mali, il est important de comprendre la portée des dispositions de l'Accord d'Alger en matière de sécurité, comme de réforme de ce dernier, à savoir: a) la mise en place d'un système de défense et de sécurité basé sur les principes d'unicité, d'inclusivité et de représentativité; b) un redéploiement progressif des forces armées et de sécurité reconstituées du Mali. Trois chapitres au sein de l'Accord déterminent les conditions d'atteinte de ces objectifs: a) Cantonnement, intégration et désarmement, démobilisation et réinsertion (DDR)²⁰; b) redéploiement des Forces armées et de sécurité²¹; et enfin c) Réorganisation des Forces armées et de sécurité²², soit "la nécessité d'entreprendre, en profondeur, une Réforme du secteur de la sécurité (RSS)"²³.

41. Au moment où ces lignes sont écrites, un certain nombre d'avancées pouvaient d'ores et déjà être constatées, toutes relatives à l'architecture institutionnelle du processus RSS, à savoir la constitution d'un Conseil national RSS/CNRSS, d'un Commissariat à la RSS (relevant de la Primature), d'une Commission nationale DDR/CNDDR, ainsi que d'une Commission d'Intégration. Par contre, il faut aussi rappeler que ladite réforme tente de prendre forme dans un contexte particulièrement délicat : l'armée malienne continue d'essuyer de lourdes pertes au centre comme au nord du Mali, dans ce qu'il faut bien continuer d'appeler une situation de guerre, alors que les forces de sécurité continuent de faire face à une insécurité et à une criminalité de plus en plus violente²⁴. Dans ce contexte difficile, nous allons dresser un bilan rapide - et possiblement non exhaustif - de l'action entreprise par DCAF en appui au développement, à la compréhension et à l'avancée du processus de RSS, et des effets éventuels générés par cette action.

¹⁷ <http://www.un.org/fr/peacekeeping/missions/minusma/>

¹⁸ L'EUTM, dont le quartier général est à Bamako, comprend deux missions distinctes.

- La mission de conseil et de réorganisation de la chaîne de commandement de l'armée

- La mission principale, spécialisée dans la formation, installée sur la base militaire de Koulikoro, à 200 km de la capitale, qui mobilise plus de 400 militaires, dont 170 formateurs assistés par une force de protection (en partie française), <http://lignesdedefense.blogs.ouest-france.fr/archive/2013/02/08/eutm-mali-un-premier-contingent-deploye-a-bamako-sous-les-or.html>

¹⁹ <http://d2q55mevlpufwx.cloudfront.net/wp-content/news/images/2015/02/ACCORD-POUR-LA-PAIX-ET-DE-RECONCILIATION-AU-MALI.pdf?b9b22d>

²⁰ Chapitre 8, Accord d'Alger, articles 18 à 20. Une Commission de Désarmement et Réinsertion, comme une Commission d'Intégration ont été créées pour appuyer ce processus

²¹ Chapitre 9, Articles 21 et 22 lequel est censé bénéficier de l'appui du Mécanisme opérationnel de coordination, avec l'appui de la MINUSMA

²² Chapitre 10, articles 23 à 28 (6 articles)

²³ Article 23

²⁴ Le Taux Brut d'Incidents (*Gross Incident Rate*) de INSO (*International NGO Safety Organization*) fait état pour les seuls deux premiers mois de 2018 de 507 incidents de sécurité, <http://www.ngosafety.org/country/mali>

Cette dernière s'inscrit dans un environnement d'appui à la RSS assez "chargé", essentiellement de par le nombre d'acteurs et par la nature différente de leurs mandats: la MINUSMA²⁵, l'EUTM, l'EUCAP²⁶ et un certain nombre d'acteurs de moindre envergure, chacun remplissant une "niche d'expertise" particulière²⁷.

2.3 Pertinence

2.3.1 *Historique de coopération - avancées vers une meilleure compréhension de la RSS auprès des acteurs*

42. DCAF est engagé depuis plusieurs années au Mali sous différentes initiatives. Les propos retenus à Bamako laissent entrevoir des initiatives de sensibilisation sur la problématique de la RSS bien antérieures à la crise de 2012. A titre d'exemple, dans le cadre de la thématique "Genre et sécurité", l'Initiative d'appui au développement de la thématique des forces de sécurité a déjà conduit en 2011 à la production d'un ouvrage "Genre et questions de sécurité" qui est toujours un ouvrage de référence à la Police nationale²⁸. DCAF a défini les grandes lignes de son intervention dans le cadre d'un premier engagement entre 2014 et 2016. Pendant ces deux premières années d'engagement "post-crise", DCAF a commencé à interpréter et analyser le travail des différentes parties prenantes, en contact étroit avec les unités UNPOL, SSR et autres de la MINUSMA et d'EUCAP. Un certain nombre de premières initiatives prennent la forme d'ateliers d'information et de sensibilisation tant au profit de la Police malienne que du secteur de la société civile. C'est le début d'une longue coopération avec des réseaux d'organisations civiles qui ont pour mission de relayer et expliquer la nature des messages contenus dans l'Accord d'Alger en matière de RSS. C'est aussi le moyen d'organiser une sensibilisation élargie aux travaux initiés dès le début des années 2010 en matière de genre et de réforme du secteur de la sécurité²⁹. Le rôle joué par DCAF dans le rapprochement des différents secteurs civil et de sécurité prépare le terrain pour un programme plus élargi. Appuyé depuis ses débuts par la coopération néerlandaise, ce programme "*Enhancing Security Governance in Mali*" se projette comme la continuité des premiers engagements de DCAF au Mali.

²⁵ B. Appui aux forces de défense et de sécurité malienne, para 22., Rapport du Secrétaire général sur la situation au Mali, S/2017/1105, 26 décembre 2017

²⁶ La Mission de soutien aux capacités de sécurité intérieure maliennes, abrégée EUCAP Sahel Mali, lancée en janvier 2015, est une mission civile de l'Union européenne, dans le cadre de la politique de sécurité et de défense commune, <https://eucap-sahel-mali.eu/>

²⁷ Danish Institute for Human Rights; National Democratic Institute; Human Security Collective, cité dans *Proposal for Funding to Support, Enhancing Security Governance in Mali*, DCAF, 01/01/2017 - 31/12/2020

²⁸ Une Commissaire de la Police Nationale malienne, ancienne responsable UNPOL à la MONUSCO, dispose en évidence d'un exemplaire de cette publication sur son bureau et confesse s'en être inspirée pour les formations qu'elle a organisée au niveau des nouvelles forces de "Police de proximité" (voir plus loin) formées à Bamako.

²⁹ Lancement de l'étude, en octobre 2015, "The Security Sector and Gender: A survey of the National Police, Civil Protection, the Armed and Security Forces, the Justice system and Penal service of Mali"

2.3.2 L'expertise de DCAF est multiforme et ajustée aux besoins des acteurs

43. Dans le cadre des entretiens conduits pour la préparation de cette étude l'un des points les plus marquants est certainement le fait que DCAF n'a cessé de poursuivre une approche de "service" plus qu'une approche "d'offre" auprès des différentes parties prenantes. En voici quelques exemples illustratifs:

Inspection du Ministère de la sécurité publique et de la Protection civile (ISPCC)

44. L'analyse de l'Inspection du dit Ministère répond à une demande formulée par le Ministre en charge de département. Elle est la continuité d'un précédent diagnostic de l'inspection de la Gendarmerie nationale réalisé par le DCAF en 2015. En sus d'un examen approfondi des missions, de l'organisation, de la structure et du fonctionnement de l'ISSPC, le ministre a souhaité que soit portée une attention particulière à l'organisation pratique du contrôle hiérarchique de ses services³⁰. L'action du DCAF a été mise en œuvre par quatre experts de l'institution, avant réalisation de l'audit et mission de restitution auprès du gouvernement, laquelle proposait sept recommandations stratégiques à mettre en œuvre. Certaines sont de nature normative alors que d'autres sont de nature plus pratique, à l'instar de la "mallette de l'inspecteur". Le Haut commandement de l'institution a décidé de la mise en place d'un budget particulier pour accompagner DCAF dans le suivi de la mise en œuvre du Plan d'action en développement.

Commission nationale de la RSS (CNRSS)

45. La Commission nationale de la RSS est l'organe responsable de la mise en œuvre de la RSS au Mali, et relève directement de la Primature. Ses conditions matérielles sont peu appropriées pour le mandat qui est le sien (pas d'équipement de roulage, pas d'immeuble qui lui soit propre...). C'est donc peu dire que la Commission, qui a bénéficié de l'appui de DCAF en matière de mise à niveau, d'expertise technique, ainsi que d'appui à la définition de son Plan d'opération 2017, comme de 2018, souhaiterait s'engager dans des réalisations qui soient plus orientées sur le volet matériel des opérations de la Commission - "*passer d'un renforcement des capacités matérielles à des capacités d'aide concrète/actions - les partenaires doivent prendre cette dimension en compte*"³¹, même si il est évident que ce ne sera pas le rôle de DCAF de s'engager dans cette voie. DCAF et la CNRSS n'ont pas signé de MOU tant sur le contenu que sur la durée. C'est une relation construite - et qui se développe - sur la confiance.

Assemblée nationale du Mali

46. A l'instar de la société civile, les parlementaires rencontrés dans le cadre de l'évaluation ont démontré un niveau assez faible de connaissances et de compréhension de l'Accord d'Alger et du sens qu'il fallait en particulier donner à l'interprétation des textes à mettre en œuvre au niveau national. DCAF a donc appuyé le déploiement de "caravanes parlementaires" dans certaines régions du pays dans le but de sensibiliser aux niveaux provincial et local, les autorités politiques, coutumières et religieuses, forces de sécurité et populations locales: "*Jamais n'avait-on autant intégré le rôle de l'Assemblée nationale dans*

³⁰ Analyse de l'Inspection du Ministère de la Sécurité publique et de la Protection civile (ISSPC), avril 2016, 55 p.

³¹ Propos d'un représentant de la CNRSS

*le suivi/évaluation de l'armée*³². Les représentants engagés dans les Commissions de Défense et des Lois ont ainsi pu aller rencontrer leurs commettants, expliquer la nature de l'Accord censé mettre un terme au conflit, et rapporter auprès de leurs pairs leurs impressions sur l'état matériel et le moral des forces de sécurité. Ils ont désormais le sentiment que "DCAF nous a ouvert les yeux, tout en nous permettant d'aller rapidement sur le terrain, surtout avant les élections". Toutes ces activités s'engagent dans le souci de permettre à la représentation nationale malienne d'engager la poursuite des travaux législatifs à finaliser pour la mise en œuvre de l'Accord d'Alger.

Gendarmerie nationale du Mali

47. La Gendarmerie nationale du Mali revendique une relation privilégiée de travail avec le DCAF. L'audit d'inspection de l'ISSPC a été un élément déclencheur pour la poursuite de la coopération entre les deux institutions. Les actions pertinentes les plus remarquables sont:

- La consolidation des textes législatifs/réglementaires relatifs à la sécurité publique, et promus à diffusion au sein des institutions de sécurité;
- Le développement d'un concept de "Gendarmerie communautaire", lequel a progressivement évolué en "Police de proximité" (en partageant leur approche avec la Police nationale);
- La mise en place de quatre pôles de sécurité au sein et autour de Bamako (entre communes urbaines et rurales), intitulés "Pôles intercommunaux de police de proximité". Ce concept rejoint les exigences de l'Accord d'Alger de créer une "police placée sous l'autorité des collectivités territoriales" (Art. 27) en association avec des Comités locaux de sécurité (Art. 28).

48. D'autres projets sont dans le "pipeline" de la coopération entre la Gendarmerie malienne et le DCAF à l'instar de la:

- Formation de 200 officiers de police judiciaire (l'État ne peut en former que 50 par année et l'État fait face à des besoins essentiels de recrutement).

Police nationale du Mali

49. Depuis le début des années 2010, la Police du Mali participe aux débats associés à l'intégration du Genre dans le travail de la police. Le point focal "Genre et sécurité" au sein de la Police malienne explique comment DCAF a appuyé la police malienne à appréhender les questions de genre à Bamako, Koulikoro, Sikasso, Kayes et Mopti, en préalable à l'instauration d'une Unité de genre qui doit prochainement être sanctionnée par le Ministre de l'Intérieur (2018). Cette unité devrait permettre la mise en œuvre d'une unité de genre au sein de chacune des 10 régions du Mali. DCAF appuie aussi (voir Gendarmerie) le développement de l'installation des trois premières unités de "Police de proximité". Les premières leçons apprises viennent d'être analysées dans le cadre d'un atelier de revue bilan.

Société civile

50. Les opérateurs de la société civile, "encadrés" au sein de réseaux élargis, à l'instar de WANEP³³ ou de ARG³⁴ n'avaient jamais engagé de réflexion avec leurs pairs des forces de sécurité (FDS) ou de police. Le travail d'information/sensibilisation engagé par le DCAF leur a permis de s'engager dans une

³² Propos d'un député de la Commission des Lois du Mali.

³³ West Africa Network for Peacebuilding

³⁴ Alliance pour la Refondation de la Gouvernance en Afrique

perspective de dialogue avec les autorités politiques et de sécurité sur les engagements à poursuivre pour la mise en œuvre de l'Accord d'Alger. Les perceptions associées aux FDS de la part des populations civiles au Mali sont loin d'être positives. Le travail d'information et d'ouverture de débats et dialogues (invitations aux représentants des deux groupes dans le cadre d'ateliers ouverts) permet un lent rapprochement et que des lignes communes se mettent en place. Le cadre normatif et politique actuel permet d'organiser cette dynamique, à condition qu'elle repose sur un entendement commun des objectifs poursuivis. Les "passerelles" construites par DCAF doivent participer à cette évolution. En résumé *"There has been notable gains in promoting interaction between CSOs and security actors which has given civil society a louder voice on SSR matters. DCAF facilitation has been key promoting formal interaction with both members of parliament and CSOs"*³⁵.

2.4 Efficacité

2.4.1 Stratégie et moyens de mise en œuvre

51. La Stratégie de mise en œuvre des travaux de DCAF a Mali est nourrie par un certain nombre de paramètres qui ont été rapportés de manière assez uniforme d'un interlocuteur à un autre:

- **Écoute et expertise technique** - Les interlocuteurs de DCAF vantent la qualité d'écoute de l'organisation à leur égard pour leur permettre d'évoluer dans leurs réflexions. L'écoute est doublée d'une expertise technique reconnue ainsi que d'une grande flexibilité dans les paramètres de mise en œuvre, de temps ou de production: "DCAF a réfléchi avec les autorités pour savoir quoi faire pour renforcer les capacités et la gouvernance locale en la matière"³⁶
- **Appropriation nationale et s'engager auprès de tous** - c'est un des points les plus significatifs des entretiens menés auprès des contreparties maliennes, e.g. le sentiment que DCAF répond à la demande plutôt que d'imposer un cheminement ou une proposition stratégique "venue d'en haut". Un propos résume cette pensée: "Avec DCAF, nous vivons un "partenariat franc". Avec DCAF, ce ne sont pas des programmes imposés, mais cela vient de nous-mêmes"³⁷. Cette posture de dialogue et de concertation paraît à l'encontre de la plupart des autres initiatives de nature "top-down": "Ce type d'approche, qu'on pourrait qualifier de descendants ou "top down", laisse peu de place à une dynamique véritablement endogène et nationale du processus de réforme, ce qui risque à terme de remettre en cause la pertinence des initiatives de réforme décidées par le haut, au regard des besoins de sécurité des populations à la base"³⁸. L'approche de DCAF en matière d'appropriation par les acteurs semble donc être l'un des points les plus forts de sa démarche méthodologique au Mali: "DCAF manages to translate ownership in its original concept by building up capacities, and this is challenging. DCAF does it by letting concerned institutions find their role"³⁹.

³⁵ DCAF, Final Completion report for Grant DSH-153/14, "Background section", submitted 27 April 2016, pp. 4

³⁶ Propos d'un haut gradé malien

³⁷ Propos d'un haut gradé malien

³⁸ <http://issat.dcaf.ch/download/115952/2116180/Policy%20Brief%20N02-Avril%202017%20ARGA-Mali.pdf>

³⁹ Propos d'un observateur international aux travaux de DCAF.

- Au Mali, la **Coordination** entre acteurs est parfois difficile et les "*conceptions de la coordination sont parfois antinomiques*⁴⁰". DCAF prend une grande attention à ne pas paraître être associé à une partie, un groupe ou un/e autre, dans le but de préserver sa perception d'indépendance et de neutralité face aux autres politiques UN, multilatérales ou bilatérales, tout en s'assurant de parler à tout le monde. DCAF met un point d'honneur à visiter et parler à toutes et chacune des parties prenantes œuvrant dans la mise en place de la RSS. En l'absence d'une présence permanente cette politique lui permet de rester à jour de l'évolution des dossiers RSS au Mali
- L'importance de la **société civile** - le principe d'inclusivité présent au sein de l'Accord d'Alger permet d'associer de manière pérenne non seulement la société politique (Parlement), mais aussi la représentation des intérêts civils représentant les jeunes, les groupes d'intérêts locaux, les populations "hôtes", comme les élus.
- **Présence "In and Out" vs représentation locale** - les experts et officiels de DCAF viennent et repartent du Mali pour organiser suivi, évaluation, préparation et programmation. Un expert national appuie le développement des initiatives de formation ou de dialogue des politiques (Stratégie de RSS) au niveau local, sans disposer d'un statut de représentation formel. DCAF travaille avec le Ministère des Affaires étrangères pour négocier un statut de représentation qui lui permettrait d'aborder une "permanence" plus durable au Mali auprès de ses partenaires.

2.4.2 Système de suivi/évaluation et de représentation

52. DCAF dispose d'un Plan de suivi et évaluation⁴¹ qui présente trois Effets principaux⁴² qui permettront de disposer d'indicateurs permettant de mesurer l'atteinte des résultats sur une base régulière et systématique. Des données de base (*Baseline*) permettent de mesurer les changements enregistrés au niveau des effets immédiats et intermédiaires du projet et de la politique mise en place.

53. Un autre sujet mobilise les débats en cours: celle de la représentation physique de DCAF au Mali. Elle est souhaitée par la totalité des intervenants rencontrés. DCAF a engagé des discussions avec le bailleur de fonds qui appuie ses travaux pour anticiper l'installation d'un bureau permanent à Bamako. Des discussions sont en cours avec le Ministère des Affaires étrangères malien pour discuter du statut particulier qui pourrait être octroyé à l'organisation pour jouir d'un statut supérieur à celui d'un simple "*think tank*" étranger.

⁴⁰ Niagale Bagayoko, Le processus de réforme du Secteur de la sécurité au Mali, Centre FrancoPaix en résolution des conflits et missions de paix, février 2018, p. xii

⁴¹ Monitoring and Evaluation Plan 92018), "Enhancing Security Sector Governance in Mali, 2017-2020", Draft, 4 Jan. 2017

⁴² DCAF-Mali project's main outcomes: Main Outcome 1. "The executive adopts strategies and creates institutional structures and policies to steer and manage the security sector reform process..." Main Outcome 2. "Interior security institutions such as the Gendarmerie and the National Police, adopt policies and practices to ensure they pursue their mandates effectively..." Main Outcome 3. "Oversight actors (...) exercise their role of external oversight of the security sector..."

2.5 Synergies

2.5.1 Synergies et coopération entre Centres de Genève

54. Il n'y a pas de représentation des autres Centres de Genève à Bamako. L'on pourrait se poser la question à savoir pourquoi le GICHD ne dispose pas d'un programme au Mali, au vu de l'importance des engins explosifs improvisés dans la guerre que mènent des groupes rebelles à l'encontre de Forces maliennes de sécurité ou internationales. De fait, le Service des Nations Unies d'action contre les mines, UNMAS, est mandaté par l'Assemblée générale des Nations Unies (Rés. 70/80 (2015) pour l'action contre les mines. Au Mali, UNMAS a été mandaté par le Conseil de sécurité⁴³ pour organiser le renforcement des capacités des capacités nationales en matière de lutte contre les engins explosifs improvisés (IED)⁴⁴, la coordination de la réponse antimines et IED, ainsi que l'appui aux activités de déminage. Cette compétence première octroyée à UNMAS et à la MINUSMA en matière de réduction des risques liés aux explosifs explique l'absence du GICHD au Mali.

2.5.2 Synergies institutionnelles avec la Confédération helvétique

55. DCAF entretient un suivi régulier de l'évolution du travail politique de la Direction sur la Sécurité Humaine du Département des Affaires étrangères (DSH/DFAE). La DSH, présente depuis plusieurs années au Mali, suit de très près la mise en œuvre des Accords d'Alger (2005) sous tous ses angles: Commissions Vérité Justice et Réconciliation (CVJR), Commission DDR, Commission Intégration, règlement politique, et évidemment questions relatives à la RSS. Par contre, la DSH/DFAE souhaite assurer et préserver la nature "neutre" du travail de DCAF pour prévenir toute suggestion que les travaux du Centre pourraient être guidés par un intérêt national plus affirmé. Les relations entre DCAF et le bureau de la DSH, à l'instar de celles prévalant entre DCAF et son bailleur de fonds actuel, les Pays Bas, restent donc de nature informative, mais non engagées dans la poursuite d'un quelconque intérêt national.

2.6 Conclusion

56. Toute conclusion sur une visite aussi rapide peut être sujette à caution. Le sentiment domine néanmoins que les conclusions de la précédente évaluation conduite sur les travaux de DCAF entre 2014 et 2016 demeurent toujours autant pertinents: *"DCAF has made a contribution to laying the groundwork for future SSR efforts in Mali. The first phase of the SSR project has enabled it to deepen its understanding of the local context, build key working relationships, and assess how best to achieve desired project outcomes"*. DCAF devrait continuer la poursuite de son engagement avec le gouvernement en inscrivant clairement ses travaux dans une perspective à long terme, ce qui est présentement rendu possible - en termes programmatiques - grâce à la générosité financière des Pays Bas.

⁴³ S/2363/2017

⁴⁴ Voir Rapport de la MINUSMA, 26 décembre 2018, para 23, op.cité

57. D'autres demandes de mobilisation sont apparemment en cours de préparation⁴⁵ au niveau de Bamako, capitalisant sur les forces de l'organisation, à savoir son expertise technique, la confiance que l'organisme génère (et son apparente neutralité politique) et son suivi/accompagnement désintéressé des acteurs. Le fait que le Mali en vienne prochainement à adopter un document de Stratégie de mise en œuvre de la RSS au Mali⁴⁶ permet à DCAF d'être idéalement positionné pour continuer ses travaux futurs au Mali. Une présence physique organisant le suivi des échanges comme de la mise en œuvre semble être un pré requis indispensable à la suite de ses travaux futurs.

2.7 Personnes rencontrées (8-12 mars 2018) à Bamako

Ambassade des Pays-Bas au Mali

VERBIEST, Fleur

Deuxième secrétaire

Ambassade de Suisse au Mali

WILLI, Lucas

Regional Human Security Advisor

ARGA - Alliance Malienne pour la Gouvernance en Afrique

DAKOUO, Ambroise

Coordinateur, Spécialiste en Gouvernance

Assemblée Nationale du Mali

Deux représentants de la Commission de Défense et de la Commission des Lois du Parlement

Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS)

ABDOUL AZIZ Mahamadou

Chef de Cabinet

DIALLO, Ibrahima (Inspecteur Général)

Commissaire

TOGOLA, Sounkalo

Chef du Bureau Communication

DCAF

BENNET, Anne

Deputy Head, Sub-Saharan Africa Division, HQ

MORAND, Jolie-Ruth

Coordinatrice de projet, Sub-Saharan Africa Division

NIKATE, Mahamadou

Expert national

Direction générale de la Police Nationale

DOMBWE, Céleste

Commissaire Divisionnaire, point focal "Genre"

Gendarmerie Nationale

SOW, Abdoulaye Modibo

Chef de Cabinet, DG Gendarmerie Nationale

Ministère de la Sécurité et de la Protection Civile

SOGOBA, Daouda (Colonel-Major)

Inspecteur en chef

West Africa Network for Peacebuilding (WANEP)

KEITA, Boubacar

Chargé de programmes/Alerte précoce

THERA, Boubacar,

Coordinateur national

⁴⁵ L'évaluation a eu écho de demandes en préparation, au plus haut niveau de l'État.

⁴⁶ La conférence qui devait entériner une première version de la Stratégie malienne de RSS devait se tenir quelques jours après le passage de l'évaluation (fin mars 2018)

3 At a Glance: Geneva Centres in Tunisia

Executive Summary

58. The Centre for Democratic and Control of Armed Forces (DCAF) has been engaged with the Tunisian government since 2011, opening an office in Tunis to support the country's democratic transition. Since its "Arab Spring" protests seven years ago, Tunisia has distinguished itself from its neighbours with a relatively peaceful transition. However, several risks still threaten the full realisation of democracy in Tunisia and progress is slow, creating frustrations and political disengagement among the population. DCAF works closely with public institutions and national authorities to support local initiatives in the field of governance, justice and human rights. The operations in Tunisia are unique in that they are financed by the Trust Fund for Northern Africa (TFNA).

59. In its 2017-2019 Country Strategy, DCAF recommends focusing on eight main reforms from political leadership to budget sustainability including local security governance, oversight and accountability mechanisms, regulatory framework, implementation of the law, transparency and gender approach.

DCAF's approach in Tunisia is based on five clusters:

- Support to the development of parliamentary and independent oversight;
- Support to communication and information-sharing;
- Regulatory assistance;
- Inclusive dialogue on security needs and policies;
- Support to managing change of security providers.

60. DCAF is the only Geneva Centre directly involved in Tunisia and the Centre faces three main challenges in the country: its name and the local perception around it's meaning; the Centre's legal status and the restrictions placed around it; and finally, its limited investment in human resources management at the local Tunis office level.

3.1 Country Context & DCAF activities in Tunisia

3.1.1 Overall context in Tunisia

61. In January 2011, following a month of popular demonstrations in Tunisia, mass protests drive President Ben Ali into exile, after 23 years in power. This event inspired other popular uprisings in Egypt, Syria, Libya, Yemen and others, collectively known as the "Arab Spring". Since then, Tunisia has distinguished itself from its neighbours with a relatively peaceful transition. Crucial progress on the political scene has been achieved in moving towards a democratic society. In 2014, Tunisia adopted its new constitution that enhances full democratic governance. Legislative and presidential elections are free and fair and Tunisian people now enjoy a higher degree of civil and political rights.

62. Despite the undeniable progress, several risks threaten the full realisation of democracy in Tunisia. In seven years, a series of terrorist attacks and periodic violent clashes took place, putting the national stability at risk. The Middle East and North Africa (MENA) context is highly uncertain and civil wars are on-going in many countries since the Arab Spring of 2011. Although the number of terrorist attacks has dropped since 2016, security challenges remain an issue in Tunisian border areas with Libya and Algeria.

63. Undergoing fundamental changes, the Tunisian political landscape saw the emergence of new political parties. These young political entities are modestly equipped to ensure an “effective political leadership of the country”.⁴⁷ Corruption and human rights issues are still significant challenges for the country as the effectiveness of the judiciary and newly established institutions are not yet secured.

64. The social and economic gaps between rural and urban regions, coastal and south-west areas are significant. Because of these social inequities, the influence of ultra-conservative Islamist groups has been growing since 2011. The Tunisian economy and some industries more particularly have been deeply impacted by this context. The tourism sector still struggles to attract foreign clientele. The distribution of revenue from natural resources (phosphate, petroleum, zinc etc.) are still a source of disagreement between regional and national authorities.

65. Overall, progress and democratic transition are slow, creating frustrations and political disengagement among the population. The hopes generated by the 2011 revolution are slowly reduced as its potential is delayed by a weak political system.

3.1.2 DCAF in Tunisia

Engagement & Objectives of the Centre

66. A few months after the revolution, Tunisia became a member state of the Geneva Centre for the Democratic Control of Armed Forces in July 2011. DCAF opened an office in Tunis to support Tunisia’s democratic transition on the request of the Tunisian Government. The Centre works closely with public institutions and national authorities to support local initiatives in the field of governance, justice and human rights. The operations in Tunisia are unique in that they are financed by the Trust Fund for Northern Africa (TFNA). This pool of funding is supported by: Switzerland, Germany, the Netherlands, Luxembourg, Belgium, Slovakia and Sweden and was created in the wake of the Arab Spring to finance activities in Tunisia, Morocco, Egypt and Libya.

67. As stated in the project overview on DCAF website, the Centre accompanies various reform projects initiated by members of the Tunisian government and supports local initiatives implemented by civil society organisations, research institutions and the media.

68. In its 2017-2019 Country strategy, DCAF recommends focusing on eight main reforms:⁴⁸

- Enhance **political leadership** over the security reform process with an emphasis on budget repartition, inter-ministerial coordination and the development of a true national vision on SSR;
- Develop **local security governance** through the identification of citizens needs and the implementation of local mechanisms to answer it;

⁴⁷ DCAF Tunisia Country Strategy 2017-2019, p. 6

⁴⁸ DCAF Tunisia Country Strategy 2017-2019, p.8

- Follow-up on the political transition with strong **oversight and accountability mechanisms**, and by capacity-building and coordination;
- Align the **regulatory framework** to the new Constitution of 2014;
- Ensure **implementation of the law** and new Constitution;
- Work on **budget sustainability** to address resource deficit in the security, defence and justice sectors with a focus on human resources;
- Prioritise **transparency** at all levels of information from the general public to parliament including media and civil society organisations;
- Finally, emphasise a **gender approach** into SSR as to ensure progress in gender equality and as to better involve women in SSR.

69. DCAF activities in Tunisia are dedicated to fostering an effective, efficient and transparent democratic transition in Tunisia by providing support to local and national authorities in the sector of justice and security. Further, the Centre aims to contribute to good governance and to reduce state weaknesses in the SSR sector.

Approach

70. The Theory of Change developed for DCAF's country programme in Tunisia, focuses on five clusters.⁴⁹ As described in the Country Strategy 2017-2019 and through interviews with DCAF MENA staff, they are:

- Support to the development of parliamentary and independent oversight:
 - Long-term engagement and cooperation with the Parliament with an emphasis on democratic oversight of the security sector and governance processes of the security sector.
 - Support capacity building of parliamentarians to understand their role in implementing the 2014 Constitution and other internal rules and procedures.
- Support to communication and information-sharing:
 - Work with government bodies such as the Ministry of Interior and Institute of National Defense within the Ministry of Justice
 - Training national press agencies and journalists on SSG/SSR
 - Support national and civil society to improve communications approaches, train on crisis communication, provide more transparent information to the public, website harmonisation
 - Set up a House of Communications to enable government and media officials to hold press conferences, share information, establish a software system and offer a media security course (in collaboration with the Tunis Media Institute)
- Regulatory assistance:
 - Support the country's transition from a system based on repression to one based on democratic leadership
 - Reform roles and rules of the police on dealing with protests, the use of firearms, etc.

⁴⁹ Ibid, p.11

- Support the development of transparent legal frameworks that are accountable to the Ministry of Justice
- Create exchange and accountability processes between different actors such as the Parliament, civil society, Ministries, police, etc.
- Created an accessible, comprehensive legal database on security sector
- Establish a new intelligence law in collaboration with the Tunisian government and the EU
- Inclusive dialogue on security needs and policies:
 - Focus on understanding and preventing youth recruitment into Jihadist groups
 - Identification of security needs to prevent violent extremism within youth
 - Find ways to actively engage with youth so to prevent future violence
 - Use a transversal and horizontal approach with many diverse stakeholders and institutions
- Support to managing change of security providers:
 - Upgrade, up-skill and adjust the capacities of security personnel such as prison management.
 - Create topical guidance based on needs and demands and support the institutional development and compliance of those standards
 - Support the operationalisation of police officers through training, support to access to equipment etc.
 - In each cluster, specific projects focus on priorities identified jointly with local partners. DCAF relies on existing national reforms plans and brings its expertise in fields where others cannot. The Centre identified four target groups to work with: armed, police and security forces; executive authorities; legislative authorities and independent oversight institutions, and; civil society and media.

3.2 Relevance of DCAF presence & activities in Tunisia

3.2.1 Overall observations

71. There are real needs to support SSR in Tunisia and to ensure an external monitoring process. To that end, DCAF activities in Tunisia are crucial as they strengthen authorities' effectiveness, efficiency and transparency efforts since 2011. They are perceived as being strategic partners and as having a strong niche expertise in SSG/SSR in Tunisia. They are appreciated for being flexible, responsive and open to needs and demands of donors, clients and partners and not operating in a strict project logic. They can offer services relatively quickly (although this could be improved) and listen to their donors and provide clear options on their capacities and expertise. They are perceived as neutral and independent from other donors and states interests in Tunisia. The Tunisia priority areas are in line with the overall DCAF Thematic and Regional Priorities 2016-2019 and coherent with the needs of Tunisian authorities and DCAF donors.

3.2.2 Thematic Challenges

72. Tunisia's new Constitution provides for strong parliamentary oversight of the security sector. For instance, Parliament is entitled to review the security budget and to conduct hearings and investigations. However, the understanding of members of parliament and their staffers of security sector oversight, responsibilities, mechanisms and procedures should be improved. There is resistance of the President of the Parliament to a consensus approach and limited capacity of human resources with members of parliament only having few staffers to support them in their work. This makes Parliamentary processes extremely slow and tedious. Other organisations supporting the parliament do not always invest in building capacities but rather place their interns within the institution. This fails to provide a transfer of knowledge, skills and political will to Parliamentarians. Judicial oversight of the armed, police and security forces remains weak as well. Independent oversight in Tunisia is spread across many institutions with overlapping mandates. This seriously hampers its effectiveness. Meanwhile, the State Audit Court is empowered to review whether the government has spent funds allocated to the security sector in line with adopted policies and procedures. In practice, however, the State Audit Court struggles to effectively assume its role.

73. Tunisian citizens lack access to effective complaints mechanisms. The current system is inefficient, because: it has overlapping mandates, leading to blockages; it has limited human and financial resources; it lacks effective citizen-oriented procedures and processes; citizens have limited access to information, resulting in a lack of public trust in the effectiveness of complaints mechanisms; the establishment of additional institutions may not help, unless the systemic problems are addressed.

3.3 Effectiveness

3.3.1 Strategy and Process Effectiveness

74. DCAF faces challenges to compete in the SSG/SSR sector in Tunisia with other larger organisations who are linked to an embassy and thus able to use its political sway and networks in a strategic way. Sometimes, the DCAF staff are not perceived to be 'high-level' enough to approach high-ranking government officials due to protocol limitations. However, DCAF staff appreciates this liberty and would not want to become politicised by a particular donor or perceived to be acting on their behalf. Further, other organisations are able

"DCAF contributes to a more legitimate and trusted security sector that respects the rule of law and ensures human rights, by helping the Tunisian authorities to develop more effective and accountable security sector institutions. This means that they are subject to / based on:

EFFECTIVE OVERSIGHT: Parliament, media and civil society are fulfilling an active oversight role based on accountability of and constructive dialogue with the Executive and security providers.

AN ADEQUATE LEGAL AND POLICY FRAMEWORK: The security sector is guided by a framework of laws, policies and codes of conducts that are in line with international good practice and fit the local context.

RESPONSIVE SECURITY: Executive and security providers are responsive to the security needs of the population."⁵⁰

⁵⁰ DCAF Tunisia Country Strategy 2017-2019, p.5

to offer training courses to local interlocutors with significant ‘benefits’ such as free trips, board and lodging, high per diems etc. While DCAF’s approach advocates sustainability, transparency and efforts towards building local knowledge and skills, it does not always ensure a competitive advantage.

75. With regards to DCAF operations in Tunisia, there are three main challenges that were highlighted by the local Tunis office staff as key issues that affect their work. Firstly, is the DCAF name itself:

- The DCAF name is often perceived negatively by local actors as having links to a hard military and security approach
- Significant trust building efforts need to be made to convince local actors who do not know them that they represent values linked to democracy, governance reform and sustainable development

76. Secondly, is in regard to the status of DCAF as a registered Foundation (and not an international organisation):

- Restrictions on signing MOUs with institutions such as the Parliament
- Restrictions on access to high-level government officials
- Restrictions on visas, work permits and contracts of local and international staff

77. Thirdly, the status of DCAF is also linked to limited investment in human resources management at the local Tunis office level. This has several repercussions such as:

- Local staff are contracted by an external employment contract (Manpower)
- Local staff have limited transparency on career mobility options, promotions, salary increases, benefits etc.
- Discrepancies between local and international staff with regards to access to trainings, contract benefits, financial autonomy
- Concerns about work permits and visas for international staff
- Limited ability to ensure certain security measures in the case of a crisis
- Restrictions on daily operations such as bank payments, cash transfers and logistical bookings for courses, trainings, use of personal cell phones for official communication etc.

78. The DCAF name, status and limited human resources management was mentioned as the main stumbling blocks for the Tunis operations from DCAF staff in Tunis (both local and international) as well as by MENA staff based in Headquarters. This provides further evidence to two recommendations in the DCAF Centre report which advocate that the Director and the Head of Resources Department should further invest in the strengthening and professionalisation of the Human Resources Unit within the Resources Department (Recommendation 2) and for the DCAF Director to re-assess DCAF’s legal status as a Foundation in Tunisia and statutes to the Swiss government (See DCAF Report Recommendation 7). From an external point of view, consulted stakeholders were positive about the effectiveness of the work with DCAF in terms of communication, flexibility, meeting partner needs and demands and responding to requests.

3.3.2 Monitoring and Reporting Systems

79. The strategic management of all MENA operations remain the responsibility of DCAF Headquarters in Geneva. This includes setting the requirements, overall framework, weekly updates with

the Head of Division and Head of Mission to review planning, outcomes and challenges. Financial control system is overseen by Headquarters but outsourced to a certified accountant based in the Philippines. This helps to ensure low costs and a high guarantee of quality, but often makes administrative and financial procedures more bureaucratic. The management structure remains highly centralised and the autonomy of the local Tunis office is relatively limited. Local DCAF staff in Tunis highlighted these procedures as not always enabling them to provide a rapid response and displacement to needs and demands on the ground. They emphasised a need to further decentralise decision-making power, human resources management and financial oversight to the Tunis office in order to ensure that operational activities are able to remain credible and of a high quality. The RBM process has been implemented within the MENA Division and operations in Tunisia. Due to demands of the donors within the TFNA, the Tunisia office also adheres to other reporting standards such as the YATI standards for funding mechanisms, Freedom House Index, national governance indicators etc. External consulted stakeholders also highlighted that the modes of reporting were rather tedious, hierarchical, long and complicated procedures that did not always prove to be effective or informative.

Contribution to the 2030 Sustainable Development Goals

Security, good governance and sustainable developments sectors are closely linked and influence one another. Thus, as mentioned in the Country Strategy⁵¹, DCAF plays a significant role in the achievement of several SDG's in Tunisia. For example, Goal 16 is directly improved by the Tunisian Security Sector Reform strongly supported by DCAF. Goal 5 too, on Gender Equality is one of the top priority for DCAF country strategy in police and justice fields.

3.4 Synergies

3.4.1 Synergies between Geneva Centres in Tunisia

80. These remain limited and ad hoc. There are sometimes broader MENA working groups or luncheons with GCSP at the Headquarters level but nothing particular on Tunisia. While GCSP sometimes has participants from Tunisia for MENA-related courses or analyses Tunisia as a country within the region with particular security issues, it does not have specific programs on Tunisia. GICHD does not have operations in Tunisia.

3.4.2 Synergies with Swiss Confederation Security and Foreign Affairs

81. As one of the main donors and steering committee members of the TFNA, the Swiss Confederation directly supports and finances DCAF's work through earmarked funds for Tunisia. Switzerland's efforts in the area of security sector reform are financed by the SDC. The steering committee also includes representatives of the Directorate of Political Affairs.

⁵¹ DCAF Tunisia Country Strategy 2017-2019, p.5

Table 3.1 *Stakeholders consulted*

NAME	ORGANISATION
Akrout, Kamel	Tunisia's National Security at the President's Office
Ayman, Ayoub	Deputy Head of Middle East & North Africa Division, DCAF Geneva
Badreddine, Sami	Senior Advisor on Media Relations, DCAF Tunis
Boujeh, Vidette	Legal Database Programme Manager, DCAF Tunis
Buchmayer, Stefan	Tunisia Head of Mission, DCAF Tunis
Cellino, Andrea	Head North Africa Desk, DCAF Geneva
Darbellay, Romain	Head, Swiss Development Cooperation Tunis
Hvidemose, Dorte	Project Coordinator, Middle East and North Africa Division, DCAF Geneva
Leuthold, Arnold	Head of MENA division (with 4 country offices), DCAF Geneva
Poulin, Maxime	Deputy Head of Mission, DCAF Tunis
Zarrai, Zied	Executive Director, Réseau Alternatif des Jeunes (RAJ) Tunis

4 At a Glance: Geneva Centres in Ukraine

Executive Summary

82. In Ukraine, GICHD and DCAF have built a strong partnership with the Organization for Security and Co-operation in Europe (OSCD) in order to coordinate their respective activities in mine action and security sector reform. The evaluation team found that the Partnership had to cope with a set of power and influence struggles with rapidly changing alliances which were out of its control and that affected the effectiveness of its results. However, the Partnership was widely recognised by stakeholders as a highly relevant, appreciated and valuable contribution. Stakeholders were provided with technical expertise and guidance; could participate and raise their voices in the process; benefited from an impartial approach and good governance best practices. The Centres worked hard to maintain their neutrality and independence. Amidst the dozens of challenges Ukraine is facing, the Partnership is helping to keep mine action on the agenda and strengthening transparency and accountability of security sector policy and practice.

4.1 Introduction

83. The main purpose of this vignette is to illustrate the innovative partnership between DCAF and GICHD developed for Ukraine on mine action and Security Sector Reform (SSR) from 2014. In addition, it provides an example on the GCSP Alumni network in Ukraine. The vignette was established on the basis of a three days' mission conducted on 12-14 February 2018 by Universal Management Group, as part of a larger Evaluation of the three Geneva Centres. The selection of Ukraine as a case study was a joint decision between the evaluation team and the Human Security Division of the Swiss Confederation's Federal Department of Foreign Affairs (FDFA). We would like to thank DCAF, GICHD and GCSP staff, as well as their partners and stakeholders in Ukraine, who warmly welcomed Universal Management Group visit and actively contributed to the development of this vignette.

4.2 Country context and Centres' engagement in country

4.2.1 Overall context in Ukraine

84. In the evaluation period, Ukraine has experienced three related crises. The conflicts that erupted in 2014 between Ukrainian government forces and Russian-backed separatists in the Crimean Peninsula and in the East of the country in the Luhansk and Donetsk regions (oblasts) has, according to UN and government estimates, led to the displacement of at least 2.8 million people within Ukraine or abroad,

wounded 22'500 persons and killed more than 10'000 people. Despite the ceasefire provided for in the Minsk Protocol in September 2014,⁵² the security situation remains tense and volatile. In 2017 the Organization for Security and Co-operation in Europe (OSCE) Special Monitoring Mission to Ukraine recorded 401'336 ceasefire violations and 4'065 instances when weapons in violation of Minsk withdrawal line were observed.

85. An economic crisis resulted in part from underlying structural problems of the Ukrainian economy and in part from the cost of the war effort combined with the disruption of the production caused by the conflict or by limitation of trade with Russia.⁵³ Between 2013 and 2016, GDP shrank by 16% and hyperinflation has put a tremendous strain on the population. According to WFP, the number of people classified as severely or moderately food insecure in Ukraine has doubled in 2017 to 1.2 million.

86. Finally, the country is going through a profound process of political transformation (defence, justice and decentralisation) which have absorbed considerable political attention, resources and have created acute tensions as well.

87. The conflict in the eastern part of the country has generated major contamination of vast areas affected by military actions with anti-personnel mines, anti-vehicles mines and Explosive Remnants of War (ERW), including cluster munitions. The exact extent of the country's current overall contamination is unclear and is likely to remain so until an effective cessation of hostilities. The Ukrainian State has a rough estimate of 7'000 km². More than 100'000 objects had already been removed in 2016, suggesting the total number is many times that, and that large areas of land will need to be cleared in the future to allow for economic and social rehabilitation of conflict-affected communities.⁵⁴ "It's ten times the Balkans" said one evaluation mission interviewees.

88. The conflict has reportedly contributed to a growing number of victims.⁵⁵ In 2016, Ukraine was among the five countries in the world that contributed the most to the peak of casualties from landmines and ERW, a year that saw the second highest number since the data collection began in 1999.⁵⁶ Still in 2016, Ukraine was also the country with the highest number of casualties from anti-vehicle mines.⁵⁷

89. For the populations in the conflict areas, access to utilities and basic services is uncertain in many zones due to mines and ERW. The passage of people and goods across the contact line remained restricted to certain crossing points and civilians passing through these crossing points (on average 36'000 people each day) often have to queue for hours, risking injury from gunfire, shelling, mines and/or ERW.⁵⁸

⁵² European Parliament, Briefing 12 Feb 2015, <http://www.europarl.europa.eu/EPRS/EPRS-Briefing-548991-Minsk-peace-summit-FINAL.pdf>

⁵³ Evaluation of UNHCR's Ukraine Country Programme conducted by Universal Management Group, September 2017

⁵⁴ OSCE PCU, Project proposal 2016-17, building Ukrainian humanitarian mine action capacity, 15.04.2016

⁵⁵ GICHD annual report 2016

⁵⁶ ICBL, *Landmine Monitor 2017*, Geneva ICBL, 2017

⁵⁷ GICHD, SIPRI, *Global Mapping and Analysis of Anti-Vehicle Mines Incidents in 2016*, Geneva, GICHD/SIPRI, 2017

⁵⁸ ICRC annual report 2016

4.2.2 Centre engagement and objectives

DCAF and GICHD

90. Ukraine is one of the DCAF's founding members and DCAF's programmes have assisted Ukraine's democratisation process since 2001. DCAF has been actively engaged with democratic institutions, security sector, government and civil society to develop the capacity of key stakeholders to cooperatively reinforce transparency and accountability of security sector policy and practice, in line with the principles of democratic governance. National demand for assistance has determined the level and type of programming. DCAF has focused on parliamentary oversight, legislative development, defence reform (including building integrity), ombudsman institution and civil society capacity development issues⁵⁹. GICHD has been active in Ukraine before the conflict in 2014, providing multi-faceted assistance involving support to the national authorities in the development of national mine action legislation, institutions and capacities⁶⁰.

DCAF-GICHD-OSCE PCU Partnership⁶¹

91. In 2014, DCAF and GICHD initiated their cooperation on mine action and security sector reform (SSR) through a policy study for a publication in the *DCAF Paper* series.⁶² They also initiated the joint development of support to Ukraine in the field of mine action. An official partnership for Ukraine began, which joined the OSCE Project Coordinator in Ukraine (OSCE PCU) in 2015. A Memorandum of Understanding was signed between the three partners, with multi-stakeholder programming focusing on the development of Ukraine's independent humanitarian demining, UXO and ERW capacities. It was renewed in 2016 and 2017. The Partnership aimed to 'facilitate cooperation between the parties in providing assistance to Ukraine in establishing an effective and accountable policies and capacities for coordination and management of mine action operations in accordance with the International Mine Action Standards and other standards of democratic security sector governance'. As follow-up, DCAF and GICHD wrote in 2017 an internal joint policy paper outlining possible opportunities for extending the partnership beyond the activities in Ukraine⁶³.

4.3 Relevance

4.3.1 The Partnership is highly relevant to the needs of beneficiaries and appreciated

92. Before 2014, Ukraine was affected by residual contamination of mines and other ordnance, mostly as a result of World War I and World War II. The conflict changed the situation dramatically and

⁵⁹ DCAF Ukraine democratic security sector governance website- www.ukrainesecuritysectorreform.com

⁶⁰ GICHD 2016 annual report

⁶¹ Referred to in this vignette as "The Partnership"

⁶² Linking Mine Action and SSR through Human Security, H. Hofmann; G. Maspoli; A. Massleberg and P. Rapillard, DCAF, 2016

⁶³ Cooperation DCAF-GICHD, Geneva, 2014

national authorities had to face new challenges in the light of the wide spread contamination. They were required a) to develop their mine action capacities that had become insufficient and b) to review the institutional architecture of the mine action sector, which was previously adjusted to deal only with residual contamination. The Ukrainian authorities, in particular the Ministry of Defense and the State Emergency Service of Ukraine (SESU), requested assistance.

93. According to the interviewees, the Partnership provides a relevant response to the needs of the main authorities concerned (see effectiveness). It also considered the needs of a broad set of stakeholders -parliamentarians, national and international experts, representatives of civil society, media, scholars, and delegates of international organisations. The response has been multidimensional: technical, administrative, legislative and strategic and interviewees underlined the professionalism and the quality of services. The relevance of the Partnership is also validated by the past, current and future consequences of the massive contamination in Eastern Ukraine.

4.3.2 The Partnership draws strength from the complementary assets of each partner and from their synergies

94. The partners emphasised the relevance of their cooperation, which enabled the pooling of each one's assets. GICHD has brought its long and extensive expertise and experience in mine action; DCAF, its knowledge and practice of the security sector and actors, 15-years' experience in Ukraine and its local and international networks. The OSCE PCU provides a framework for intervention, local presence and means. The OSCE PCU was established by the OSCE Permanent Council on 1 June 1999, replacing the previous OSCE Mission to Ukraine (1994-1999). In line with its mandate, it was tasked to plan, implement and monitor projects across the politico-military, economic and environmental, and human dimension of security, engaging governmental and non-governmental bodies, acting at the request of Ukrainian government and following official approval. The OSCE PCU is in constant contact with beneficiaries, with a presence of 77 staff members of which 93% are local staff and 62% female staff.⁶⁴ The OSCE PCU has a budget of 3'598'800 euros with additional funds provided by OSCE participating States for specific projects.

4.3.3 The Partnership offers an innovative approach, nurtured by a common understanding amongst the partners

95. In-depth conceptual thinking has guided the Partnership through a joint reflection of DCAF and GICHD on linking Mine Action and Security Sector Reform.⁶⁵ It showed that SSR and mine action share a common understanding of security: human security that adopts a people-centred perspective, which encompasses human safety, livelihood and dignity. The conceptual linkages between SSR and mine action are also reflected by significant commonalities in their approach to designing and implementing programmes. Both promote national ownership, give significant attention to the development of local

⁶⁴The OSCE Special Monitoring Mission to Ukraine, whose mandate is different, has 385 national staff in addition to over 800 international staff most of them international monitors.

⁶⁵ Linking Mine Action and SSR through Human Security, U. Hofmann; G. Maspoli, A. Massleberg and P. Rapillard, DCAF, 2016

capacities and seek to apply the principles of good governance. Interaction between SSR and mine action is still limited at the field level and opportunities for cooperation need to be explored.

96. The partnership in Ukraine provided an innovative example, through the support to the development of well-governed, efficient and accountable mine action institutions by combining SSR and assistance to mine action. It offered an interesting illustration of possible synergies in the field of good governance.

4.4 Effectiveness

4.4.1 *The Partnership delivers a multifaceted support to Ukrainian authorities*

97. The Partnership focuses on four areas: 1) Guidance and support to mine action legislation; 2) Guidance on mine action strategic planning; 3) Adoption of mine action standards; 4) Development of information management.

- Mine action legislation: Mid-2017, Ukraine was in the process of passing mine action legislation that would identify the executive bodies involved; regulate the national mine action authority; mandate the development of a priority action plan. Different drafts of a mine action law had been developed and two bills reached the Parliamentary Committee on National Security and Defense. The latter one rejected them, and the parliament established then an interdepartmental working group to keep the process alive. Altogether, the process was still largely influenced by rivalries between ministries and the complex agenda of other concerned actors.
- Strategic planning: significant new contamination requires strong strategic planning of mine action governance and capacities. The Partnership provided guidance on strategic planning and created a potential area of cooperation between mine action and security sector reforms strategies. In October 2016, the Partnership organised the first workshop on strategic planning and in mid-2017, next steps were under consideration for developing a draft strategy related to progress in the drafting of mine action legislation.
- Standards: Ukraine adopted International Mine Action Standards (IMAS) in September 2016. The Partnership supported the drafting process of national mine action standards. In mid-2017, the Ministry of Defense announced the creation of a subcommittee for the development of national standards, including representatives of government ministries and international humanitarian demining organisations.
- Information management system for mine action (IMSMA): In addition to the IMSMA administrator training course that was organised for several countries of the region, including Ukraine, the Partnership supported the deployment of an IMSMA data base by SESU. Pilot projects were conducted in four regions. The ministry of Defense is managing its own ISMA data base, reportedly complementary, and plans to create a national IMSMA server. The Partnership conducted an information management assessment that will help to develop a roadmap for future collaboration between SESU and Ministry of Defense.

4.4.2 The Partnership provided a platform for participation of all stakeholders and kept mine action on the Agenda

98. Mine action is effective with the involvement of Ministry of Defense and the armed forces and of other ministries. The Partnership struggled with establishing the right civil-military balance, which required a holistic understanding of the security sector through an SSR perspective. The challenge was particularly acute as at least five ministries or State agencies were concerned, to mention the main ones: Ministry of Defense; State Emergency Service of Ukraine, that is belonging to the Ministry of Interior; Special Transport Service incorporated in the Ministry of Infrastructure until 2018; Ministry of Foreign Affairs; and since 2016 the new Ministry for Temporarily Occupied Territories and Internally Displaced Persons of Ukraine.

99. Several multilateral events organised by the Partnership assured the participation of all government stakeholders on an equal foot and encouraged national ownership. In addition to a series of conferences and workshops focused on civilian demining issues at national and local levels, two multi-stakeholder conferences on improving civilian control of defence and security institutions brought together more than 100 parliamentarians, national and international experts, representatives of the Ukrainian Government, security institutions, civil society, media, scholars and delegates of international organisations.⁶⁶ All events included international mine action operators such as Halo Trust, Fondation Suisse de Déminage, Danish Demining Group, and the ICRC.

100. According to interviewees, the partnership contributed decisively to the raising of awareness about the contamination problem within ministries, the parliament and civil society organisations while being recognised as knowledgeable and trustworthy partners.

101. It was also recognised by various stakeholders that the relevance of some of the Partnership's tools and modalities of support was decreasing and that there was a kind of "round tables fatigue". New approaches are needed and probably an adjustment of the strategy.

4.4.3 The Partnership was carried out effectively

102. The Partnership was carried out effectively, thanks to: activities being conducted jointly by DCAF and GICHD when relevant; other activities being conducted independently by each Centre but benefiting the Partnership indirectly; the establishment of a theory of change for general GICHD-DCAF cooperation⁶⁷ which underpinned the implementation of the Partnership. Partnering with the OSCE provides GICHD and DCAF with the distinct advantage of collaborating with an organisation with a field presence, allowing the Centres to work effectively at a distance and through ad hoc missions.

103. More efforts are to be devoted to the effective integration of the Results Based Management framework within the Partnership operations, to identify and formulate more precisely outcomes.

⁶⁶ DCAF Ukraine fact sheets 2017

⁶⁷ The theory of change defines the inputs, activities, outputs, immediate outputs, medium term outcomes and strategic outcomes

Table 4.1 *Main joint activities DCAF-GICHD in the Partnership*⁶⁸

2015	2016	2017
1 Conference in Geneva	1 Workshop in Kiev	1 Workshop in Kiev
2 Workshops in Kiev	1 Advisory mission	1 Advisory mission
2 advisory missions	2 Presentation sessions to Ukrainian delegations visiting the Maison de la Paix	

4.4.4 *The influence and power struggles among national actors have limited effectiveness*

104. The complexity of the interactions between national stakeholders, the pursuit of special interests, as well as the financial dimensions of mine action, are factors that limit the effectiveness of activities in Ukraine. They are mostly responsible for the delays in the legislative process that is also commercially underpinned. Stakeholders are in no hurry to do strategic planning as long as the conflict is going on, the adoption of national standards has to be finalised and IMSMA remains partially operational due to the ministries' rivalry.

105. Ukraine is a State Party to the Convention banning anti-personnel mines (Ottawa Convention) and is currently not compliant with the Convention. It is the only State to be in violation of Article 5 of the Treaty as it failed to meet the deadline for clearance of contaminated land (1 June 2016). It has not presented a request for an extension of the deadline and therefore has not been granted an extension. The Partnership has been discreet on this point – "we thank them for their patience", said a representative of a Ukrainian ministry while other non-governmental stakeholders would have welcomed more "courage".

106. The use of factory-produced antipersonnel mines in Ukraine, where declared stockpiles had been destroyed, indicates that some transfers, either internally among actors or from sources external to the country are occurring.⁶⁹

4.5 Sustainability

4.5.1 *The Partnership has created conditions for sustainable outcomes*

107. While the results are still incomplete, many interviewees acknowledged that seeds had been planted through the Partnership and would germinate. The experience gained by stakeholders in the development of mine legislation will be useful for the further process and discussions. The partnership provided comprehensive training to a wide array of stakeholders that are equipped with knowledge for short and medium term. The drafting of a strategic planning and the importance placed by the Partnership on this point will facilitate its development. The IMSMA system will serve in the long term, on

⁶⁸ Context and activities of GICHD and DCAF Partnership in Ukraine- Dec 2017

⁶⁹ Landmine Monitor 2017

the condition that the split in the system is overcome. All of the partnership's actions aimed for significant stakeholders' ownership. For now, all three partners intend to pursue their joint cooperation efforts to support Ukraine in reorganising its mine action institutional architecture for the benefit of populations.

Table 4.2 *List of interviewees*

NAME	TITLE
Altyntseva, Natalia (Lt Col)	Deputy Head, International collaboration, Security service of Ukraine
Bachmann, Robert	Human Security Advisor, Embassy of Switzerland to Ukraine and Moldova
Bevz, Colonel Andrii	Deputy Head of Division for organisation of humanitarian demining, Emergencies Response Department, State Emergency Service of Ukraine (SESU)
Bila, Kateryna	Head of Division for Non-proliferation and Arms Control, International Security Department, Ministry of Foreign Affairs
Cuthbert, Col (Ret.) Andrew	Adviser on Parliamentary Affairs, NATO Representation to Ukraine, NATO Liaison Office
Erlich, Jeffrey	Deputy Head of Mission, OSCE PCU
Friz, Iryna	MP/Chairperson of the Subcommittee of Verkhovna Rada of Ukraine on National Security and Defence. Head of the Ukrainian parliamentary delegation to the NATO Parliamentary Assembly
Gladkyy, Oleksandr	National Project Officer, Politico-Military Dimension OSCE PCU
Irwin, Sharon	Deputy Director, NATO Representation to Ukraine, NATO Liaison Office
Lupan, Viktoria	WASH Officer, UNICEF office in Ukraine
Melnyk, Oleksiy	Co-Director, Foreign Relations and International Security Programmes, Razumkov Centre
Pokas, Georgios	Head of Operations, OSCE SMM
Polyakov, Leonid I.	Chairman of the Expert Board, Center for Army, Conversion and Disarmament Studies (CACDS)
Rokun, Serhiy (Col.)	Deputy Head, Environmental and Mine Action Department; Head of Mine Action division, Ministry of Defence, Government of Ukraine
Ruestsche, Norbert	Senior Advisor to the Minister, Ministry for Temporarily Occupied Territories and Internally Displaced Persons of Ukraine (MTOT)
Ruffy, Roger	Deputy Head of delegation, ICRC
Semionov, Mihail	Senior Mine Action Officer, OSCE SMM
Shahramanyan, Yuri	Programme Manager, HALO Trust
Späti, Christoph	Deputy Head of Mission, Embassy of Switzerland to Ukraine and Moldova
Tsermolonsky, Oleh	Desk Officer for China, Ministry of Foreign Affairs, Government of Ukraine
Vahtaric, Miljenko	Technical Adviser on Mine Action, OSCE PCU
Zubarevskiy, Sergey (Col.)	Coordinator of improvised explosive devices (IED) division, Ministry of Defence, Government of Ukraine

External Evaluation of the Geneva Centres

Volume 6: Appendices

FINAL REPORT | MAY 2018

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Appendix I Terms of Reference



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of Foreign Affairs FDFA

Directorate of Political Affairs DP

Human Security Division:

Peace, Human Rights, Humanitarian Policy, Migration

Terms of reference for the "External Evaluation of the Geneva Centres"

1. Terms and abbreviations

ABBREVIATION	DEFINITION
CdP	Comité de Pilotage
DCAF	Geneva centre for Democratic Control of Armed Forces
DDPS	Federal Department of Defence, Civil Protection and Sport
FDFA	Federal Department of Foreign Affairs
FOPP	Federal Ordinance on Public Procurement
GICHD	Geneva International Centre for Humanitarian Demining
GCSP	Geneva Centre for Security Policy
ISSAT	International Security Sector Advisory Team
SDC	Swiss Agency for Development Cooperation
StG	Steuergruppe

2. Purpose of this document

This document contains the requirements relating to the mandate for project "External evaluation of the Geneva Centres". It serves as a template for the bidder to submit his or her offer. Contracts are awarded according to the invitation to tender procedure according to Art. 35 of the FOPP.

3. Goal and content of the mandate

3.1 Background

3.1.1 Geneva Centres GCSP, GICHD, DCAF

Capacity building in the domain of security policies, security sector governance and reform, as well as mine action is a major factor in making the world more peaceful and stable. In the 1990s, Switzerland founded a competence centre for each of the three fields of activity: GCSP (Geneva Centre for Security Policy, 1995), GICHD (Geneva International Centre for Humanitarian Demining, 1998), and DCAF (Geneva Centre for the Democratic Control of Armed Forces, 2000). The Centres are independent foundations under Swiss law. Each of the Centres is governed by an international foundation council. All three Centres have become internationally renowned Centres of excellence in their respective field of work. They also reinforce International Geneva's status as an international city. The Centres receive financial support from a number of countries and partners. The biggest funder is the Swiss government with its contribution via the Federal Department of Foreign Affairs (FDFA).

Geneva Centre for Security Policy (GCSP)

The GCSP was established for the purpose of promoting peace, security and stability through education, analysis and dialogue. Committed to the highest professional standards, GCSP trains government officials, diplomats, military officers, international civil servants, and NGO staff by providing them with knowledge and skills in relevant fields of international peace and security. Through policy research and publications, the GCSP contributes to stimulating the discussion in the thematic areas of "leadership in conflict management", "emerging security challenges", and regional capacity development. Leveraging its unique location in Geneva, GCSP also provides an internationally recognised forum for dialogue on key security and peace policy issues. For more information please visit www.gcsp.ch.

Geneva International Centre for Humanitarian Demining (GICHD)

The Geneva International Centre for Humanitarian Demining (GICHD) is an expert organisation working to reduce the impact of mines, cluster munitions and other explosive hazards, in close partnership with mine action organisations and other human security actors. The GICHD supports the ultimate goals of mine action: saving lives, returning land to productive use and promoting development. The GICHD supports national authorities, international and regional organisations and NGOs in their efforts to improve the relevance, performance and sustainability of mine action. By bringing together experts and practitioners, gathering and sharing knowledge, the GICHD acts as a central reference point in mine action and ammunition safety management.

The GICHD hosts the Implementation Support Units of both the Anti-personnel Mine Ban Convention and the Convention on Cluster Munitions. In addition, it hosts the Gender and Mine Action Programme Association and the Geneva Disarmament Platform Association. For more information please visit www.gichd.org.

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

The Geneva Centre for the Democratic Control of Armed Forces (DCAF) is dedicated to improving the security of states and their people within a framework of democratic governance, the rule of law, and respect for human rights. DCAF contributes to making peace and development more sustainable by assisting partner states, and international actors supporting these states, to improve the governance of their security sector through inclusive and participatory reforms. It creates innovative knowledge products, promotes norms and good practices, provides legal and policy advice and supports capacity-building of both state and non-state security sector stakeholders.

Active in over 70 countries, DCAF is internationally recognised as one of the world's leading centres of excellence for security sector governance (SSG) and security sector reform (SSR). For more information please visit www.dcaf.ch.

3.1.2 Swiss support to the Geneva Centres

The Swiss Confederation supports the GCSP, the GICHD, and the DCAF through both core and project funding and is a member of the respective governing boards of the Centres. Based on the decision of the Swiss Federal Parliament with regard to the framework credit 2016-2019 in support of the three Geneva Centres (federal dispatch 14.091, hereinafter also referred to as the "dispatch")¹, the Swiss contributions 2016-2019 will sum up to a maximum of CHF 129 million.

The dispatch stipulates inter alia that an evaluation shall be undertaken, focussing on the relevance, effectiveness, efficiency and sustainability of the work executed by the three Geneva Centres. This evaluation shall be initiated by the Interdepartmental Steering Committee of the Swiss Federal Government, the so-called Comité de Pilotage (CdP). The CdP is in charge of implementing the Swiss interests with regard to the three Centres by providing the overall strategic steering with regard to and management of the Swiss contribution. It is therefore also responsible for the evaluation. The CdP has decided to assign the mandate for an external independent evaluation (hereafter "the evaluation") through an invitation to tender process.

3.1.3 Background of the evaluation

Since the founding of the Geneva Centres and particularly within the past few years, the geopolitical security setting, the fields of human security, mine action, and security sector have fundamentally changed. Both new challenges and new opportunities have emerged, some previously pivotal aspects have lost their significance, and some long-standing issues remain unsolved. It is therefore decisive that the three Geneva Centres constantly adapt to the current peace and security environment and adjust to needs and demands of Switzerland and the international community.

In 2014, the Swiss Confederation conducted an external and independent evaluation of the Geneva Centres on their relevance, effectiveness and efficiency. The 2014 external evaluation informed the editing and submission of the federal dispatch 2016-2019, which itself anchored the intention of the Federal Council to periodically conduct an evaluation of the relevance, effectiveness and efficiency of the use of the Swiss financial contributions to the three Centres.

The current external evaluation to be conducted in 2017/2018 thus follows a similar logic and will contribute to the development of a next report and dispatch of the Federal Council to the Federal Parliament for the 2020-2023 legislative period, addressing the relevance, effectiveness, efficiency and sustainability of the three Geneva Centres.

The evaluation provides a twofold opportunity:

- it allows a **retrospective approach**, analysing the status of implementation of the concrete tasks given by the parliament through the dispatch 2014 to the parliament,
- it allows a **prospective approach**, e.g. analysing the ability of implemented methods and instruments to adapt future trends relevant for the centres and providing recommendations on how to ideally address them in the context of the Swiss Confederation's contributions.

The fundamental approach of the evaluation is therefore not an "audit" of past activities, but an opportunity to take stocks and look ahead on a strategic level in the spirit of corporate development.

3.2 Objectives

3.2.1 Overall objective

In the light of both the aforementioned retrospective and prospective approaches, the **overall objective** of the evaluation is twofold:

Accountability: The evaluation shall account for the activities and the positions of GCSP, GICHD and DCAF in their respective area of activities between mid-2014 and mid-2017 and the results achieved in this period. It shall produce information and insights for the report to the Swiss Parliament on the implementation of the current framework credit line resp. the current dispatch.

Learning: The evaluation shall contribute to the corporate development of GCSP, GICHD and DCAF; the evaluation might also foster the process of formulating the strategy paper for each Centre. The evaluation thus aims to contribute, with its assessment, findings, conclusions and recommendations, to the following strategic thrusts:

- Adjustment of management and governance structures appropriate to the size of the organisation;
- Development towards a comprehensive impact and result based management (with regard to both substance and institutional set-up);
- Further sharpening of the profiles of the Centres as a prerequisite for synergies among the Centres within the Maison de la Paix.

3.2.2 Institutional set-up and governance of the evaluation

The following governing bodies are part of the institutional set-up for the evaluation and have the responsibilities thereafter:

The evaluating expert(s) resp. team (hereafter: the evaluator): The evaluator (yet to be selected) conducts the evaluation according to the mandate and terms of references. While the evaluator is in a regular and close contact with the focal points of the evaluation, the evaluator has an independent position, meaning that the evaluator is free in his or her conclusions and thus recommendations.

Committee (Comité de Pilotage, CdP): The CdP is the awarding authority for the evaluation. The CdP is composed of representatives from the Federal Department of Foreign Affairs, FDFA (Political Directorate PD, and Swiss Agency for Development Cooperation SDC) and of the Federal Department of Defence, Civil Protection and Sport, DDPS (General Secretariat, and International Relations Defence). The CdP receives all reports and products of the evaluation and will provide a management response.

Steuergruppe (StG): The StG ensures the day to day management, coordination and the quality of the evaluation process, including the tender process, and serves as point of contact for the Geneva Centres and the evaluation team during the evaluation process and maintains the dialogue with them.

GCSP, GICHD and DCAF (the three Centres or Centres) represent the evaluated system. The Centres participate in the formulation of the questions for the evaluation in the Terms of Reference. Each Centre receives the inception report, the evaluation report and formulates the management response regarding its specific recommendations.

3.3 Content of the mandate, terms of reference

3.3.1 Approach

The CdP decided that the evaluation shall be conducted by one evaluation team that carries out the assessment of all three Centres. This approach allows for a coherent assessment and for analysing the potential for synergies between the Centres. The evaluation shall assess aspects of relevance, effectiveness, efficiency and sustainability that are important for all three Centres and answer the general questions that are common to all three Centres (see point 3.2). Furthermore, this evaluation shall focus on specific issues for each Centre (see point 3.3).

3.3.2 Focus of the evaluation for all three Centres

The **overall focus** of the evaluation will be on the strategic orientation, the quality of implementation in terms of achievements and in relation to the tasks and emphasis defined in the current dispatch ("Auftrag" and "Schwerpunkte 2016-19") and in the Framework Agreement 2016-19. Furthermore, governance structures, institutional mechanisms, management procedures, stakeholder perception and donor satisfaction will be looked at.

Limitations: Specific interventions and individual projects are not in the focus of this evaluation, but some of them might be assessed in order to analyse the results monitoring mechanisms and the quality of the services offered.

Relevance

- Strategic relevance (in general):

- How do the Centres anticipate and analyse contemporary and future trends and developments in their respective areas of activities?
- How do the Centres anticipate and analyse existing needs and trends among the international stakeholders (e.g. governments, relevant international organisations, NGOs, private actors)?
- How do the Centres anticipate and analyse major donors' strategies and trends in the relevant domains of excellence?
- How is the analysis of the aforementioned developments, needs and donors' strategies and trends reflected in the respective strategies of the Centres?
- How is the analysis of the aforementioned developments, needs and donors' strategies and trends used for the corporate development?
- Foreign and security political relevance for the Swiss Confederation in particular:
 - Do the contributions by the Centres meet the needs expressed by the Swiss Confederation (e.g. through the dispatch 2014 to the parliament, the framework agreement or the annual service agreements)?
- Excellence:
 - How are the Centres perceived in the international context, in particular by different stakeholders (donors, customers, partners), such as States, international, regional, national and non-governmental organisations?
 - How are the roles, performances, services and contributions of the Centres assessed by both international and national stakeholders and representatives of the respective sectors / industries?
 - Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?
 - How are the Centres perceived by donors/potential donors with regard to their functionality towards the implementation of relevant donor policies?
- Profile and synergies:
 - Do the Centres have accurate processes in place to continuously raise their profiles?
 - Have the Centres taken active measures to sharpen their respective profiles, also with a view to promote synergies among themselves and with other partners within the Maison de la Paix?
 - What has the move into the "Maison de la Paix" implied in the short and long term for the three Centres' work?
 - What potential synergies exist with regard to joint products, processes etc., and which potential has not yet been addressed?
 - What measures have been taken, and what measures are planned?
 - Gender: How is gender taken into consideration in the management of the Centres and in the activities and programmes?

Effectiveness

- Implementation and continuous tracking of the strategy:
 - Do the Centres have a formalised and transparent strategy development and respective strategy implementation process? What are the schemes and methodologies used therein? Do these schemes and methodologies enable accountable strategic performance management?
 - How do the Centres assess the accuracy and the progress of their strategy implementation?

- Does the outcome (e.g. products and services) of the Centres meet the needs and expectations of the relevant stakeholders?
- Have the Centres introduced an impact and results-based management (RBM) approach into their strategies (focusing beyond the output level)?
- Have the Centres introduced an impact and results-based management (RBM) approach into their operations?
- How is the impact and results-based management approach applied on strategic and operational levels?
- How do they monitor and evaluate implementation and results? To what extent have the results of the Centres so far contributed to the achievements of their objectives?
- How do the Centres learn and adapt based on their measuring and monitoring of the results?
- Are the strategic objectives reached?
- Have appropriate structures, programmes and priorities been set to promote the strategic objectives?
- How do the Centres measure the relevance of their services/contributions towards the respective goals and purposes? How do they manage their core processes and if necessary take corrective action? How do they communicate on achievements in the implementation of their strategies?
- Is the respective period of the strategies in line with the period of the Swiss legislative period (2016-2019)? If not, what measures could be taken to improve and synchronise the periods?
- Corporate Governance structure:
 - Have the positions of both the Council of Foundation and their Bureaus being strengthened in the past? And does the strengthening allow a better risk analysis and management than before?
 - Are the governance structures of the Centres adequate in order to allow an efficient and effective implementation of their respective strategies?
 - Are the management and governance structures and procedures of the Centres adequate with regard to the size and the nature of the services of the Centres?
 - Are the governance structures and procedures of the Centres adequate with regard to the working context and to the donor relations, the current funding situation and the financial risks of the respective Centre?
 - Have any adjustments of governance structures taken place since mid-2014, or are there any concrete plans to make such adjustments?
 - Are the organisational structures dynamic and flexible enough to be adapted to new challenges in the future or temporary requirements?
 - Are standardised reporting processes including effectual correction procedures in place?
 - The results and findings of the evaluation 2017 shall be consolidated (gap analysis) on the basis of the management responses of the 2014 evaluation;

Efficiency

- Finances
 - Have the financial sources for the three Centres been diversified (as stipulated in the dispatch), and has particularly the share of funds by other donors (not the Swiss

- Confederation) reached or surpassed the defined thresholds (GCSP: min. 15%, GICHD: min. 25%, DCAF: min. 45% of the total revenue through contributions by other donors)?
- Do the Centres apply adequate financial management and control procedures, according to national and international standards?
- Do the Centres make optimal use of the financial and human resources to produce the expected outcomes?
- How do the Centres assure funding with a mid-term and long-term perspective?
- How are the Centres positioned and prepared for their work in fragile contexts? I.e. are the Centres well equipped, structured and staffed in order to work in fragile states?
- Is the proportion of personnel expense between core experts (permanent staff) and external experts (temporarily mandated) adequate, measured in terms of outcome?
- How do the Centres address the potential to develop a joint IT-policy or to use synergies with regard to logistics?

Sustainability

- To what degree does the completion of an intervention lead to a lasting change?
- Do the beneficiaries continue to benefit from the interventions after the completion of an intervention?
- What is the level of independent ability of a partner/government to continue the intervention after the Centre's support is discontinued?
- Employees: Is the workforce adequate in terms of quality and quantity in order to implement the strategy, tasks and achieve the goals of the Centre (quality)?
- Have the Centres implemented a formalised lessons-learned (continuous improvement) process?

3.3.3 Specific questions per Centre

Specific questions addressing concrete thematic issues for each Centre:

GCSP

- Are the thematic focus and the service offered by GCSP appropriate, dynamic and competitive? Is it in line with its statutory tasks and the ones defined in the federal dispatch 2016-19 (particularly with regard to training, analysis and dialogue facilitation)?
- Does the GCSP offer appropriate training methods that meet today's requests by the international civil and military clients?
- Has the GCSP increased its competitiveness compared to other training institutions in the domain of excellence?
- What are the concrete outcomes as a result of GCSP activities? Has the GCSP in particular extended its course programme and the circle of potential customers?

GICHD

- What are the concrete outcomes (e.g. quality and benefit in the perception of donors and customers) as a result of GICHD activities? Is there a gap between Stakeholders expectation and the actual products and services offered by the Centres?
- Is the scope of the thematic and country-specific offerings of GICHD adequate, contemporary and effective, taking into account the evolving working context?
- How does the GICHD integrate new developments in the domain of mine action (and explosive threat reduction in general), both on a global level and on a country-specific level?
- What are the opportunities and risks for the GICHD to expand the scope of its work beyond the traditional mine action sector?
- What is the GICHD's performance regarding its cooperation and coordination with other mine action actors, including governments, national authorities, UN agencies, research centres, operators, and other relevant organisations?
- Is the hosting of the Implementation Support Unit to the Anti-Personnel Mine Ban Convention and the Implementation Support Unit to the Convention on Cluster Munitions functional?

DCAF

- Has DCAF increased its collaboration with the United Nations and other multilateral partners in the domain of security sector reform in terms of concrete products and services?
- Has DCAF increased its support to police-related and other SSR-related activities (globally or in specific countries) in terms of concrete products and services?
- Is the scope of core competencies (thematic areas) and activity lines (services) adequate, contemporary and effective?
- To what extent are the different departments of DCAF (including ISSAT) contributing to the overall DCAF objectives? Does DCAF have a systematic process in place to measure its performance?
- To what extent have the organisational structure and internal policies been efficient and contributed to the effective delivery of DCAF's strategy over the period under review? What has changed in terms of organisation structure and internal policies since the 1st of January 2017? Are these measures adequate in order to contribute in a more effective and efficient way to the overall DCAF objectives?
- How are the donors implied in strategic and thematic discussions? Is there room for improvement? Are the structures adequate for donor commitment?
- What types of immediate and intermediate outcomes can be observed as a result of DCAF's support to national and international actors in line with its corporate results framework?

3.3.4 Methodology

The methodology for the evaluation includes:

- Study of relevant documents (particularly also on the strategic and/or political level).

- Interviews and discussions with representatives of the management and staff of the Centres, of the CdP and with the bureau members of the council and of each foundation as well as with members of advisory boards.
- Surveys/interviews with stakeholders, partners and beneficiaries of the Centres (in the respective domains of the Centres' activities).
- Appliance of a SWOT analysis.
- Visits of partners abroad.
- Identification of issues that would require further investigation.

The criteria and indicators for the analysis of the defined focus will be provided by StG at the beginning of the evaluation.

The evaluation team shall present a refined methodology in its inception report.

The recommendations should address the issues that need specific attention to strengthen the Centres' relevance, effectiveness, efficiency, and sustainability (along the focus defined in 3.2. and 3.3.). The recommendations should allow for concrete improvements at strategic and operational levels (see also 1.3. and 2.1.). Presentation and discussion of findings, recommendations, and other issues will be discussed during a restitution workshop with the CdP at the end of the evaluation process.

3.3.5 Evaluation standards

The evaluation shall be carried out according to the DAC Evaluation Quality Standards, including the DAC Guidelines on Evaluating Peacebuilding Activities in Settings of Conflict and Fragility (OECD 2012) as well as to the Swiss Evaluation Standards (SEVAL- Standards). For the GICHD, also the International Mine Action Standard 14.10 "Evaluation of Mine Action interventions" applies. For the GCSP, the EduQua standards also apply.

3.3.6 Deliverables

Under the mandate assigned to the evaluation team the following deliverables are expected (all in English):

- **Inception Report** with the following information: refined methodology, refined evaluation questions, workplan and a proposal regarding format and structure of the evaluation report. The Inception Report shall be addressed to the CdP (via the StG) for discussion and approval.
- **Draft Report**, including key findings (based on a SWOT-analysis) and recommendations shall be addressed to the CdP (via the StG) and to the directors of the Centres for comments.
- **Final Evaluation Reports**: Evaluation Report of max. 20 pages for each Centre, plus a maximum 10 pages overall report on synergies and comparisons, annexes and an executive summary of max. 3 pages, including key findings and recommendations.
- **Timeline**: Draft report by February 2018, final report by April 2018.

3.3.7 Requirements of the expert

All of the following competences and skills are required for the evaluation:

- a) the evaluator should hold an independent position, and in particular not be an employee of the Swiss Federal Administration, the GCSP, GICHD or DCAF, or a direct project partner of the three Centres, and was not at any time employed by these institutions within the past 24 months;
- b) the evaluator should have proven experience and competence in evaluating partnerships between governmental and non-governmental organisations and think tanks in the domain of peace and security (i.e. security policy, peacekeeping and peacebuilding, international humanitarian law and human rights, humanitarian policy, sustainable development, etc.);
- c) the evaluator should have proven experience and competence with regard to corporate development, business development, operation management, etc. in political contexts;
- d) the evaluator should have an advanced knowledge on foreign and security political trends as well as on key questions in the humanitarian domain;
- e) the evaluator should be sensitive to gender issues;
- f) the evaluator should be fluent in English; it is further recommended that the evaluator is fluent in a Swiss official language (particularly German or French).

3.4 Time frame, target dates

Deadline	Activity
25 August 2017	Publication of the TOR on the FDFA website as well as on alnap.org, and invitation of at least three bidders
8 September 2017	Deadline for submission of questions by e-mail
12 September 2017	Sharing of answers to submitted questions
12 September 2017	Deadline for Expression of Interest
20 September 2017	Deadline for submission of complete offers
Until 27 October 2017	Selection of the evaluation expert
Until early November 2017	Finalisation of contract and administrative questions
November 2017 – February 2018	Evaluation according to TOR / mandate
Until 28 February 2018	Submission of preliminary draft report (for consultation) to both the CdP and the three Centres
Until 23 March 2018	Feedback by the CdP as well as the three Centres on the draft report.
Until 16 April 2018	Finalisation of the Evaluation Report, Submission of the final report to both the Swiss Federal Administration and the three Centres
Until 31 May 2018	Finalisation of management responses by the CdP and the three Centres

4. Formal aspects of the invitation to tender

4.1 Contracting authority

The Human Security Division of the FDFA (Bundesgasse 32, 3003 Bern) manages the award procedure and is also the direct mandating party for the bidder.

4.2 Type of procedure

Procurement in the invitation to tender is in accordance with the Federal Ordinance of 11 December 1995 on Public Procurement, FOPP, SR 172.056.11.

The award of contract **cannot** be contested.

4.3 Composition and content of the offer

CHAPTER	DESCRIPTION	NO. PAGES	SC/ AC ¹
0	Covering letter with signatures	1 p	
1	Title External Evaluation of the Geneva Centres GCSP, GICHD and DCAF (2010-2013)		
	Call for proposals		
1.1	Subtitle: Tender Offer Name, City/Country Lead Person		
	Date		
2	Technical Offer	Max 8 p.	AC1-AC3; SC10-SC11
	Introduction with motivation for the evaluation		
	Appraisal of the mandate / approach		
	Description of the refined methodology		
	Refined workplan		
	Competencies, roles and responsibilities of the team members. Profile of team leader.		
3	Financial Offer	1 p	AC 4
4	Annexes		SC 1-SC 9

¹ Reference to Suitability Criterion (SC) or Award Criterion (AC)

CHAPTER	DESCRIPTION	NO. PAGES	SC/ AC ¹
	Bidder declaration Declaration working conditions – Acceptance of electronic bill, GTC, etc. – Profile of the company – CVs of the team members – Track record / Relevant experience (References)		

4.4 Budget

A maximum budget of CHF 120'000.- (incl. VAT) may be provided for the mandate.

A minimum of 400 hours / 50 days are planned for the execution of this mandate/evaluation.

No reimbursement can be made for the bidder's work in preparing and submitting his or her offer.

4.5 Contractual terms

The contract to be concluded is subject to the general terms and conditions General terms and conditions (GTC) of the Confederation for service contracts. The general terms and conditions are considered to be accepted when an offer is submitted.

The contract with the winning bidder will be concluded in November 2017. However, the 1st instalment disbursed to the winning bidder under the contract will be paid earliest in January 2018.

5. Suitability criteria

The bidder can verify his or her ability to fulfil the mandate in technical, financial and commercial terms, resp. shall confirm this with a self-declaration.

NO.	SUITABILITY CRITERION	VERIFICATION
SC 1	Information of bidder The bidder has to fill in the bidder information Annex 1.	Written confirmation, signed by the bidder according to Annex 1 <i>Bidder declaration</i>).
SC 2	Compliance with working conditions, workplace health and safety regulations and requirement of equal pay for men and women a) Compliance with procedural principles: The bidder confirms that his/her company (and their subcontractors and sub-suppliers mandated by said company) comply with the procedural principles according to the self-declaration of the federal procurement conference. <u>In case of a consortium each member has to fill in and sign the self-declaration.</u> b) ONLY FOR SERVICES PROVIDED IN SWITZERLAND: Additional	a) Legal signature on the self-declaration (annex 2 <i>Form Declaration working conditions</i>). b) Written proof that the basis of good employer practice regarding salary inspection has been checked (by the «Fazit sheet» Logib , controls of state authorities or salary analysis of third parties). This proof has to be based on wage data not older than 36 months

NO.	SUITABILITY CRITERION	VERIFICATION
	evidence of respect equal pay for men and women Additional to the self-declaration bidders and members of consortium with more than 50 employees and their first level subcontractors with more than 50 employees have to prove how the basis of good employer practice regarding salary inspection has been checked by submitting a corresponding proof.	before signing the self-declaration.
SC 3	Acceptance electronic bill Contractors are obliged to submit an electronic bill to the FDFA if the contract value is above CHF 5'000 (excl. VAT). Information on the electronic billing system is available under the following link: www.e-rechnung.admin.ch . The bidder shall confirm that he/she is willing to submit an electronic bill to the FDFA.	Written confirmation.
SC 4	Acceptance of conditions according to 4.5 of the Tender Document: The bidder shall explicitly confirm, without limitation or modification, the acceptance of the conditions stipulated in 4.5 of the present tender document and the General terms and conditions (GTC) of the Confederation for service contracts annex 3	Written confirmation
SC 5	Economic / financial capability: The bidder has adequate economic/financial capability to carry out the mandate.	Latest Annual Report (in case an individual person bids: written confirmation)
SC 6	Experience: The bidder has done at least 2 institutional evaluations comparable with the present mandate in terms of purpose, scope and complexity. The relevant competencies and experience expected refer particularly a) to the thematic domain of peace, security and humanitarian affairs, and b) to corporate development/ business development in political contexts. He proves this experience with exactly 2 references in the last 6 years.	Written proof of the references giving at least the following data: • Name of company and address of contact person(s) and telephone numbers; • Time and place of execution of the mandate; • Volume of the executed mandate; • Description of the provided services; The contracting authority reserves the right to contact the contact persons indicated.
SC 7	Personnel resources: The bidder can contract the necessary personnel to be able to fulfil the mandate as described in Part A (3.3.7 Requirements for the evaluators) of this Tender Document.	Written confirmation with easily understandable documentation (incl. CVs) about the human resources employed for the mandate.
SC 8	Contact partner. The bidder defines the person that acts as team leader and as Single Person of Contact (SPOC).	Written confirmation, giving the family name and first name, contact data, function name and deputy of the SPOC
SC 9	Language skills of the key persons: The bidder is able to deploy key persons who can communicate in English, French and German both orally and in writing and are able to compile and supply the	Written confirmation with clearly understandable documentation about the language skills of the

NO.	SUITABILITY CRITERION	VERIFICATION
	evaluation report and documentation in English language.	team leader and the team members (based on the Common European Framework of Reference for Languages)
SC 10	Quality assurance in the evaluation process is guaranteed.	Description of quality assurance by team leader
SC 11	Knowledge of Swiss instruments of foreign policy but enough independence from GCSP, GICHD, DCAF: Knowledge: The evaluation team must have expertise to cover all aspects of this independent evaluation: a specific expertise related to topics of the respective Centre (Security policy training and education, mine action, and democratic control of armed forces), knowledge of international Geneva and of Swiss foreign policy. Knowledge II: The evaluation team must have expertise to cover all aspects of corporate development, respectively business development and operation management. Independence: The consultants should not have been involved in implementing activities of any Centre in the past 3 years. Evaluations are not considered as implementing activities.	Written confirmation

6. Award criteria

Of the valid offers submitted, the contract will be awarded to the economically most favourable bid.

Offers will be assessed according to the following award criteria and weighting:

NO.	AWARD CRITERION	WEIGHTING
AC1	Qualification and experience of nominated team	40%
1.1	Composition of the proposed evaluation team: required skills and experience in relation to: • The objectives of the evaluation • The experience of similar evaluations • Expertise in security policy, mine action, security sector governance and reform, as well as in education; • Knowledge of current and future trends in security policy, mine action, security sector governance and reform,	(30%)
1.2	Composition of the proposed evaluation team: required skills and experience in relation to • Expertise in corporate development, business development and corporate governance • -Knowledge of the languages required English, French, German	(30%)
1.3	Qualification of the team leader • Senior expert in evaluation • Knowledge of academic institutions	(40%)

NO.	AWARD CRITERION	WEIGHTING
AC2	- Confirmed experience in management of a team for evaluations and assessments comparable in size and scope - Confirmed knowledge of the themes of security policy, mine action, security sector governance and reform - Professional experience of “International Geneva” - Knowledge of Swiss foreign policy - Language skills in English, French, German Understanding of the mandate and general approach	25%
2.1	Understanding of the mandate and proposed approach for the evaluation	(40%)
2.2	Measures taken for ensuring quality assurance	(40%)
2.3	Proposal for the mainstreaming of gender	(20%)
AC3	Procedure and organisation	10%
3.1	Agenda for the implementation of the evaluation	(50%)
3.2	Rationality of the proposed organisation/structure, coherence of the distribution of responsibilities, complementarity of the team, coverage of the thematic fields of evaluation	(50%)
AC4	Financial Proposal	25%
4.1	Clarity of the proposition, full character of the cost structure, realistic estimation of the costs	(20%)
4.2	The overall price is to be submitted only together with the budget form as per Annex 4. of the tender document, in accordance with 4.4 of the tender document and to include the following: - Working hours related to the mandate (indicating rate per hour) - Travel expenses - Other expenses $\text{Score} = \left(\frac{P_{\min} \times \text{max. Points}}{P} \right)^n$ P = Price of the Proposal to be assessed P min = Price of the lowest Proposal n = 1	(80%)

Award criteria are evaluated on a scale of 0 to 5.

SCORE	FULFILMENT AND QUALITY OF THE CRITERIA	
0	Cannot be established	Information not available
1	Very bad fulfilment	- Information is incomplete - Data quality is very poor
2	Bad fulfilment	- Information relates inadequately to the requirements - Data quality is poor
3	Average fulfilment	- Information globally responds inadequately to the requirements - Data quality is adequate
4	Good fulfilment	- Information focuses well on requirements - Data quality is good
5	Very good fulfilment	- Information clearly relates to the achievement of outputs - Data quality is excellent

7. Additional points to be noted by the bidder

7.1 Address for submission of offers

By **e-mail** to [francois-philippe.garraux\[at\]eda.admin.ch](mailto:francois-philippe.garraux[at]eda.admin.ch)

7.2 Language of documents, language of bids

The bid can be submitted in German, French, or English.

7.3 Expression of interest in submitting an offer and receiving documents

Interested bidders can express their interest in submitting an offer by e-mail to [francois-philippe.garraux\[at\]eda.admin.ch](mailto:francois-philippe.garraux[at]eda.admin.ch) until 12 September 2017 (close of business) and will receive these terms of reference and additional documents by e-mail in return.

7.4 Answering questions

Questions concerning the awarding of the mandate in question can be sent by 8 September 2017 (close of business). Please send in questions in writing by e-mail ([francois-philippe.garraux\[at\]eda.admin.ch](mailto:francois-philippe.garraux[at]eda.admin.ch)). PLEASE NOTE: The answers will be made available by e-mail by 12 September to all bidders who have expressed an interest in submitting an offer.

7.5 Deadline for submitting a bid and validity

The bid must be sent by e-mail to francois-philippe.garraux[at]eda.admin.ch by 20 September 2017 (date and time of e-mail submission) at the latest, with the following note: "Offer External Evaluation Geneva Centres"

The bid is valid for up to 60 days after the aforementioned date for submission.

Please submit the financial proposal in CHF (Swiss Francs).

7.6 Negotiations

Remain reserved.

7.7 Confidentiality

All information of any kind that comes to the attention of the bidder in connection with the tendered mandate of the awarding authority is to be treated as confidential. The content of the present tender may only be made available to persons taking part in the preparation of the bid.

The tender documentation may not be used for any other purposes than preparation of the bid, even in extracts.

Bidders treat facts as confidential that are not public knowledge or publicly available. In cases of doubt, facts are to be treated as confidential. This obligation to secrecy remains valid even after conclusion of the tender procedure.

The awarding authority undertakes to maintain confidentiality about this bid towards third parties subject to the reserve of statutory publication requirements.

7.8 Freedom of information

The final evaluation report will be unclassified and falls under the principle of freedom of information (as the costs of and the management response to the evaluation do).

The relevant documentation will be accessible without restrictions for the evaluating expert, except for cases of classified information according to the Ordinance of 4 July 2007 on the Protection of Federal Information (SR 510.411; status as of 1 July 2016).

7.9 Integrity clause

Bidders undertake to take all necessary measures to avoid corruption, especially not to offer or accept payments or other advantages.

Bidders who violate the integrity clause are required to pay a contractual penalty to the contracting authority amounting to 10% of the contract sum or at least CHF 3,000 per violation.

The bidder notes that a violation of the integrity clause leads as a rule to the cancellation of the award or to early termination of the contract by the contracting authority for important reasons. The Parties shall inform each other in case of any well-founded suspicions of corruption.

7.10 Protected rights

All protected rights that arise from executing the mandate shall be transferred to the contracting authority.

8. Annex

- Annex 1: Bidder Declaration
- Annex 2: Compliance with working Conditions
- Annex 3: General terms and conditions (GTC) of the Confederation for service contracts
- Annex 4: Budget Offer Type B
- Annex 5: Federal Dispatch on the framework credit 2016-2019 in support of the three Geneva Centres (online, available in [German](#), [French](#) and [Italian](#))
- Annex 6: “External Evaluation of the Geneva Centres, GCSP, GICHD and DCAF” (2010-2013), Final Report and Management Response by the CdP
- Annex 7: Swiss Federal Audit Office: Report on the 2017 Audit of DCAF (only in French).

Appendix II Detailed Methodology

This section presents a comprehensive description of the methodology employed for the evaluation of the three Geneva Centres.

The evaluation was undertaken in line with OECD-DAC Evaluation Standards² and Swiss Evaluation³ Standards.

The evaluation team used a participatory and utilisation-focused approach. As such, a key objective of the evaluation team was to ensure that the evaluation is as useful as possible for its intended users.

The evaluation was framed by an evaluation matrix based on the questions outlined in the TOR, organised under four OECD/DAC evaluation criteria: relevance, effectiveness, efficiency and sustainability. The evaluation team were tasked to consider each Centre through these criteria separately, before assessing the Centres collectively and reviewing the synergies among them. The evaluation matrix is provided in Volume 6, Appendix III.

The evaluation used a mixed-methods approach to collect and triangulate data from different sources, using both quantitative and qualitative techniques. This supported the development of robust, evidence-based findings, which in turn allows for reliable conclusions and targeted recommendations.

The evaluation started with an inception phase, which began on 1 November 2017. After a preliminary document review, preliminary consultations with Swiss and Centre stakeholders, the evaluation team developed an inception report outlining the methodology and evaluation tools (particularly the evaluation matrix). The inception report was approved in December 2017 and data collection began in December 2017 and continued through to March 2018. A draft report for each of the Centres (3) was submitted to the Swiss Confederation for comments on 23 March 2018. A draft report on the synergies between the Centres (1) will be submitted for comments on 27 March 2018.

The following section provides more details on each method of data collection employed for this evaluation.

Semi-structured interviews

The evaluation team interviewed a total of 165 people both in person and over the phone. The interviews included staff members at management and operational levels at each of the Centres, Centre staff in field offices, Members of the CdP and StG, members of the Foundation Council Bureau of each Centre, partner government officials, policy makers, donors and peer organisations working in the respective sectors of the Centres. A full list of consulted stakeholders is available in Volume 6, Appendix IV.

The breakdown of interviews per centre is presented in table ii.1 below

² <http://www.oecd.org/development/evaluation/qualitystandards.pdf>

³ <http://www.ader-evaluare.ro/docs/Swiss%20Evaluation%20Society.pdf>

Table ii.1: Breakdown of interviewees by Centre

CENTRE	TOTAL NUMBER OF INTERVIEWEES		GENDER BALANCE
	STAFF	EXTERNALS	
DCAF	41	24	63% male; 37% female
GCSP	34	4	45% male; 55% female
GICHD	27	21	65% male; 49% female
Swiss Confederation (all Centres)	25		76% male; 24% female

The evaluation team used interview protocols with questions based on the questions outlined in the evaluation matrix. These protocols are presented in Volume 6, Appendix V.

SWOT workshops

In addition to interviews, the evaluation team facilitated workshops with staff at each of the Centres to hear their opinions on the Strengths, Weaknesses, Opportunities and Threats (SWOT) of their organisations.

We held two workshops at GICHD and GCSP, one for senior management and one for staff (thematic, operational and admin/finance staff). Each workshop included 8-15 people and lasted one and a half hours each. At DCAF, we held three workshops due to the larger staff size: this included one for the senior management team (4 people), followed by another for division and department managers and a third for staff.

The SWOT workshops proceeded as follows:

- 1) Evaluation team members described the purpose of the SWOT workshop and how it would proceed.
- 2) Evaluation team members split larger groups of participants into sub groups and asked them to identify strengths and weaknesses (internal to the Centre). Groups were allotted 15-20 minutes to discuss.
- 3) The evaluation team brought the groups back together and asked them to share their findings, collecting findings on a large flip chart. The evaluation team facilitated discussions and prompted questions about any issues relevant to the evaluation matrix that had not been mentioned.
- 4) The groups were split into their smaller groups for a second time and asked to discuss opportunities and threats (external factors) over the course of 15-20 minutes.
- 5) The evaluation team brought the groups back together and asked them to share their findings, collecting findings on a large flip chart and facilitating discussions.

After the workshops were finished, the evaluation team collated the findings for each Centre into a SWOT matrix, presented in Volume 5, Appendix VI. The names of those who participated in the workshops is detailed in the list of stakeholders consulted, Volume 6, Appendix IV.

Document review

We conducted a review of internal documentation for each of the Centres, as well as of documents that pertained to the Centres collectively, to Swiss strategies and framework credits, and literature

pertaining to the relative areas of expertise of the Centres. The document review provided crucial data on the role and activities of the Centres, their internal policies and management, their financial data and their strategic approach.

A list of documents consulted is available in Volume 6, Appendix VII.

Surveys

The evaluation included two separate online surveys for each Centre: an internal survey for staff and an external survey for other external stakeholders identified by the Centres.

To facilitate analysis across the Centres, the evaluation team developed survey questions that were applicable to all Centres. We included one section of tailored questions per Centre in our internal staff survey. We conducted a pilot survey with five staff members from each Centre to review our survey questions and make sure that they were understandable for staff from each Centre and adjusted the questions based on feedback from the pilot participants. There was no pilot for the external stakeholder survey because the evaluation team did not believe that the response rate would support the process.

The surveys were launched online (via SurveyMonkey) on 10 January 2018 and ran until 28 January 2018. After consultations with the Centres during the first week of the survey period, we translated both surveys into French and send reminders and new links with the option of choosing to complete the survey in French to those who had not yet responded.

Survey templates are presented in Volume 6, Appendix VIII and a summary and analysis of each of the surveys is available in Volume 6, Appendix IX.

A total of 415 people responded to our surveys. The surveys had strong response rates, detailed in Table ii.2 below:

Table ii.2 *Response rates for online surveys*

CENTRE	INTERNAL STAFF SURVEY	EXTERNAL STAKEHOLDER SURVEY
DCAF	67%; 147 responses	43%; 63 responses
GCSP	84%; 56 responses	43%; 59 responses
GICHD	76%; 45 responses	39%; 45 responses

In-country and virtual field missions

In order to have a better understanding of how the Centres work, the evaluation team conducted two in-country and two virtual field missions. The findings of these missions are presented in illustrative vignettes in Volume 6, Appendix X. In this first draft, we have presented the vignettes for Mali and Lebanon. The vignettes for Ukraine and Tunisia will be submitted on 27 March 2018.

The countries were selected on the basis of evidence that at least two of the Centres ran programmes in country and on the advice and input of the Centres and the CdP, as well as the feasibility and security of travel for the evaluation team.

Table ii.3 *In-country missions*

COUNTRY	TYPE OF MISSION	CENTRE IN FOCUS	# STAKEHOLDERS CONSULTED
Ukraine	In-country	DCAF, GICHD and GCSP	22

COUNTRY	TYPE OF MISSION	CENTRE IN FOCUS	# STAKEHOLDERS CONSULTED
Mali	In-country	DCAF	16
Lebanon	Virtual	DCAF, GICHD	9
Tunisia	Virtual	DCAF, GCSP and GICHD	8

The Ukraine mission provided the most comprehensive insight into the Centres work in country and how they collaborate in country. One evaluation team member travelled to Ukraine between 12 and 15 February 2018, supported by a national consultant. The consultants reviewed relevant documentation provided by the Centres before the mission. Interviews took place with government officials, regional organisations (NATO, OSCE), UN agencies, civil society organisations and think tanks who work with the Centres in Ukraine.

The Mali mission took place between 7 and 9 March 2018. One evaluation team member travelled to Mali and undertook interviews with Ambassadors of partners and donors of the Centres, civil society organisations, government officials and members of the National Assembly. The consultant reviewed relevant documentation provided by the Centres before the mission.

The virtual missions were desk based and entailed telephone interviews and a review of relevant documentation from each of the Centres.

Limitations

There are challenges inherent in undertaking such a complex evaluation of three distinct centres at the same time, while also assessing the synergies and comparisons between them. The evaluation team encountered some limitations when conducting data collection and analysis:

- There is a potential for stakeholder bias. We consulted 151 people about this evaluation and surveyed 415. We took every opportunity to speak to stakeholders outside of the human resources of the Centre, for example, by administering a separate survey aimed at collecting the views of donors, government partners, implementing partners, intergovernmental organisations and peer organisations. The external survey had a modest response rate at an average of 41% and not all external stakeholders approached were able to participate in interviews. The field missions also spoke mainly to external stakeholders. Overall external stakeholders counted for 167 respondents to the surveys and 49 interviewees. However, these were stakeholders chosen by the Centres themselves, leading to a potential for stakeholder bias.
- Apart from DCAF, the Centres have a limited presence in the field. This made choosing relevant countries for the field missions and the collection of data relevant to the questions in the evaluation matrix challenging. We worked hard with the Centres and the CdP representatives to choose countries that were both feasible and useful. Nevertheless, there are limitations to the utility of the field missions and the extent to which they were able to inform the findings of the reports for each of the Centres.
- The Centres are all at different moments in their development. For DCAF, this was not an opportune time to undertake an evaluation; DCAF initiated major management restructuring in January 2017 and is in the midst of renewing its management approach, policies and processes. As the change is so near the end of the evaluation period (30 June 2017), the reforms are yet to bear fruit, making the evaluations conclusions less solid for forward planning than they would have been had the evaluation taken place further into the renewal process, such as in the case of GCSP.

Appendix III Evaluation Matrix

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
Relevance	1.1 How do the Centres manage trends and operate strategically?	1.1.1 How do the Centres anticipate and analyse contemporary and future trends and developments in their respective areas of activities? 1.1.2 How do the Centres anticipate and analyse existing needs and trends among the international stakeholders (e.g. governments, relevant international organisations, NGOs, private actors)? 1.1.3 How do the Centres anticipate and analyse major donors' strategies and trends in the relevant domains of excellence? 1.1.4 How is the analysis of the aforementioned developments, needs and donors' strategies and trends reflected in the respective strategies of the Centres and used for the corporate development? 1.1.5 Are the Centres fit to work in fragile contexts? I.e. are the Centres well equipped, structured and staffed in order to work in fragile contexts? Do they have conflict sensitivity integrated on institutional and operational levels and is their work guided by comprehensive risk analysis and management?	Evidence of internal research activities and exchanges with key partners to analyse future trends and developments Evidence of exchanges with international stakeholders to assess needs Evidence of exchanges with donors on approaches to relevant themes Evidence that research and needs assessment have supported strategic orientation and development of the centre e.g. up to date context section in strategies Evidence of procedures to manage and transfer knowledge within each organisation Degree of alignment of Centres' strategies with major trends identified by external stakeholders and extant literature	Centres' annual strategic plans & annual reports Project documentation: activities and project reporting Extant literature in each of the Centres' areas Perceptions of external stakeholders Perceptions of members of the councils of foundation, as well staff of each Centre Course schedule (GCSP)	Document review Phone or in-person interviews with key staff and members of the Foundations of the Council Survey with Centres' staff Survey with external stakeholders Field visits
	1.2 Are the Centres'	1.2.1 Do the contributions of the Centres meet the needs expressed by the Swiss	Degree of alignment between mid-year activity	Federal dispatch Framework	Document review Interviews with

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	contributions relevant for the Swiss Confederation Security and Foreign Affairs?	Confederation (e.g. through the dispatch 2014 to the Parliament, the framework agreement or the annual service agreements)? 1.2.2 Is the respective period of the strategies in line with the period of the Swiss legislative period (2012-2015 and 2016-2019)? 1.2.3 In case of non alignment, what measures have been, or could be taken to improve and synchronise the periods?	report and annual reports and Switzerland's strategy for International Cooperation Degree of alignment of strategies with Swiss legislative period Utility of Inputs by Centres as perceived by Swiss Confederation e.g. in relevant UN-fora in Geneva Perceptions of Council and management stakeholders of measures to improve and synchronise periods Evidence of measures taken to synchronise periods	agreement Annual service agreements from 2014-2017 Mid-year and annual reports for each of the Centres Strategic documents (e.g. Security Political Report 2016, Mine Action Strategies) Foundation Council and Bureau minutes Foundation Council and Bureau members	senior officials and members of the Councils of the Foundations
	1.3 How are the Centres perceived on the international arena?	1.3.1 How are the Centres' roles, performances, services and contributions perceived and assessed in the international context, in particular by different stakeholders (donors, customers, partners), such as States, international, regional, national and non-governmental organisations? 1.3.2 How are the Centres perceived by donors/potential donors with regard to their functionality towards the implementation of relevant donor policies?	Perceptions of external stakeholders on strengths and weaknesses of Centres' roles, performances, services and contributions, including hosting of implementation support units in case of GICHD Degree of perceived alignment between donor policies and the Centres operations/programmes	Perceptions of external stakeholders M&E documents	Phone/Skype interviews Document review Survey with external stakeholders
	1.4 Have the Centres been able	1.4.1 How do the Centres manage to	Qualitative evidence of a change in perceptions of	Perceptions of staff of each Centre at	Interviews

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	to raise their profiles and generate further synergies?	raise their profiles? 1.4.2 Have the Centres taken active measures to sharpen their respective profiles, also with a view to promote synergies among themselves and with other partners within the Maison de la Paix? 1.4.3 What has the move into the Maison de la Paix implied in the short and long term for the Centres' work? 1.4.4 What potential synergies exist with regard to joint products, processes which have not yet been addressed? 1.4.5 What measures have been taken, and what measures are planned?	stakeholders over evaluation period with regards to the profiles of the Centres Evidence of increased demand E.g. number of trainings given, number of people trained, etc. Existence of specific projects and collaboration to establish synergies between the Centres in the Maison de la Paix Evidence of how the Centres have planned how to use/are using CHF 1.4 million indicated by Federal Dispatch for joint projects – number of joint projects initiated during evaluation period Perceptions of internal stakeholders on effective, planned and potential future synergies	HQ and in the field Each Centre's strategic documents, annual reports and documents on partnerships Each Centres' M&E reporting	SWOT workshop Field visits Document review Survey with Centres' staff
	1.5 How is gender taken into consideration within the Centres programme and policies?	1.5.1 How is gender taken into consideration into the Centres activities? 1.5.2 How is gender taken into consideration into the Centres programmes?	Evidence of disaggregation of data in M&E for activities Evidence of inclusion of gender considerations in design and implementation of activities/programmes Evidence of connection to the Gender Diversity Hub	Perceptions of staff of each Centre at HQ and in the field Each Centre's documents of programme design and implementation,	Interviews SWOT workshop Survey with Centres' staff Survey with external stakeholders Samples of project

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
			Alignment of centre activities with implementation of UNSC Resolution 1325	M&E reports Perceptions of external stakeholders	proposals by Centres
Relevance/ Specific to GCSP	1.6 Are the thematic focus and services of the GCSP relevant?	1.6.1 Are the thematic focus and the service offered by GCSP appropriate, dynamic and competitive? Is it in line with its statutory tasks and the ones defined in the federal dispatch 2016-19 (particularly with regard to training, analysis and dialogue facilitation)? 1.6.2 Does the GCSP offer appropriate training methods that meet today's requests by the international civil and military clients? 1.6.3 Does e.g. GCSP have a similar security political analysis as Switzerland in its 2016 security political report?	Degree of alignment between GCSP strategy and services and Federal Dispatch Perceptions of beneficiaries on the appropriateness and relevance of GCSP training methods offered	Federal dispatch GCSP strategy documents GCSP course catalogue and work plans Perceptions of staff of each Centre at HQ and in the field Perceptions of external stakeholders Monitoring of perceptions of GCSP beneficiaries through M&E of training	Document review Interviews with Centre's management and staff SWOT workshop Field visits Survey with Centres' staff Survey with external stakeholders
Relevance/ Specific to GICHD	1.7 Scope, new developments, opportunities and risks	1.7.1 Is the scope of the thematic and country-specific offerings of GICHD adequate, contemporary and effective, considering the evolving working context? 1.7.2 How does the GICHD integrate new developments in the domain of mine action (and explosive threat reduction in general), both on a global level and on a country-specific level? 1.7.3 What are the opportunities and	Evidence of context analysis and adjustments in GICHD activities Evidence of integration of new developments in the domain of mine action Perceptions of key stakeholders of opportunities and risks with regard to expanding GICHD scope	Extant literature on demining in countries chosen for field visits Perceptions of HQ staff and managers Perceptions of external stakeholders	Document review Interviews SWOT Survey with Centre staff Survey with external stakeholders Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		risks the GICHD to expand the scope of its work beyond the traditional mine action sector? 1.7.4 Do the operational activities of GICHD also correlate with Switzerland's vision in the Mine Action Strategies?			
Relevance/ Specific to DCAF	1.8 Donors contribution	1.8.1 How are the donors included in strategic and thematic discussions? Is there room for improvement? Are the structures adequate for donor commitment?	Evidence of donor involvement in strategic and thematic discussions Degree of donor satisfaction with current processes for involvement	Perceptions of donors Perceptions of management Governance documents and minutes	Interviews Document review
Effectiveness	How effective are the Centres' strategies and processes?	2.1.1 Do the Centres have a formalised and transparent strategy development and respective strategy implementation process? 2.1.2 Have appropriate structures, programmes and priorities been set to promote the strategic objectives? 2.1.3 How do the Centres manage their core processes and, if necessary, do they take corrective action? 2.1.4 How do the Centres communicate in the implementation of their strategies? 2.1.5 How do the Centres address the potential to develop a joint-IT policy or to use synergies with regard to logistics?	Evidence of processes for strategic development, implementation and review Satisfaction of internal stakeholders with international communication of strategy implementation Evidence of coordination between the centres on joint IT policy or other joint infrastructure policies Level of satisfaction of internal stakeholders with coordination between centres on joint policies and processes	Strategic documents for each Centre Annual reports for each Centre Programme evaluations for each Centre Perceptions of staff of each Centre at HQ and in the field	Interviews Survey with Centre staff SWOT workshop
	2.2 How effective have the Centres	2.2.1 How do the Centres measure the relevance of their services/contributions	Evidence of design and implementation of key	Annual reports, programme MM&E	Document review

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	been in monitoring their goals, programmes and expected outcomes? Do they integrate RBM in their operations?	towards the respective goals and purposes and the progress of their strategy implementation? 2.2.2 How do they monitor and evaluate implementation and results? 2.2.3 How do the Centres learn and adapt based on their measuring and monitoring of the results? 2.2.4 How do the Centres assess the accuracy and the progress of their strategy implementation? 2.2.5 How did the Centres manage the integration of RBM within their operations?	components of an RBM system Evidence of design and implementation of effective monitoring mechanisms, if no RBM system in place Evidence of processes for feedback, learning and adaption on basis of monitoring and evaluation measures	reports RBM policy guidelines Perceptions of programme staff and management at HQ and in the field	Interviews Survey with Centre Staff SWOT workshop
	2.3 Are the governance structures of the Centres adequate for an effective implementation of their respective strategies?	2.3.1 Do the governance structures of the Centres support efficient and effective implementation of their respective strategies? 2.3.2 Are the management and governance structures and procedures of the Centres adequate with the regard to the size and the nature of the Centres? 2.3.3 Are the governance structures and procedures of the Centres adequate with regard to the working context and to the donor relations, the current funding situation and the financial risk of the respective Centre?	Evidence of structures, policies, procedures and processes supporting the implementation of strategies Perceptions of Council and Centre management of effectiveness of governance structures <i>Note: This question will rely on the basis of the <u>Management Responses of the 2014 evaluation</u></i>	Governance documents (e.g. Statutes/by-laws and regulations ...etc.) of Bureau/ Foundation Councils Perceptions of Council (Foundation Council and Bureau) members Perceptions of management staff Perceptions of external stakeholders (partners, donors)	Interviews with Foundation Council members Interviews with Bureau-members Document review SWOT workshop with management staff

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	2.4 Are the governance structure of the Centres flexible and responsive? <i>This question will rely on the basis of the <u>Management Responses of the 2014 evaluation</u></i>	2.4.1 Have any adjustments of governance structure taken place since mid-2014, or are there any concrete plans to make such adjustments? 2.4.2 Have the positions of both the Council of Foundation and their Bureaus being strengthened in the past? And does the strengthening allow a better risk analysis and management than before? 2.4.3 Are the organisational structures dynamic and flexible enough to be adapted to new challenges in the future or temporary assignments? 2.4.4 Are standardised reporting processes including effectual correction procedures in place?	Evidence of activities undertaken to strengthen the Councils and their Bureaus, as well as each Centre, e.g. changes in statutes, processes, membership during the evaluation period Degree of satisfaction of Council members and management of the Centres with the adaptability of governance structures Evidence of follow up on governance recommendations in 2014 evaluation	Governance documents (e.g. Statutes/by-laws and regulations ...etc.) of Bureau/ Foundation Councils Perceptions of Foundation Council and Bureau members Perceptions of management staff	Interviews with the Centres management and partners Documentary review SWOT workshop with management staff
	2.5 To what extent have the results of the Centres so far contributed to the achievement of their objectives?	2.5.1 To what extent have strategic objectives been reached? 2.5.2 Do the outcomes (products and services) of the Centres meet the needs and expectations of respective stakeholders?	Degree of achievement of objectives through comparison of strategic plans, annual reports and workplans Evidence of use of products and services by beneficiaries and external stakeholders Perceptions of stakeholders	Strategic plans Annual reports and workplans Perceptions of managers and beneficiaries Evidence from existing MM&E reports on beneficiary perceptions and use	Document review Interviews with staff and partners SWOT workshop Survey with Centre staff Survey with external stakeholders
	2.6 Programme effectiveness/ Specific to GCSP	2.6.1 What are the concrete outcomes as a result of GCSP activities? Has the GCSP in particular extended its course	Degree of achievement of outcomes of GCSP activities based on comparison of	Strategic plan Annual reports Programme M&E	Document review Interviews SWOT workshop

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		programme and the circle of potential customers?	strategic plans with annual reports and other M&E reports Number of customers at beginning of evaluation period compared with number at the end of evaluation period, disaggregated by trends in participants' country of origin, level, civilian/military status Perceptions of managers and staff on degree of outcome achievement	documents Perceptions of programme managers Documentation on alumni	
	2.7 Programme effectiveness/ Specific to GICHD	2.7.1 What are the concrete outcomes (e.g. quality and benefit in the perception of donors and customers) as a result of GICHD activities? Is there a gap between Stakeholders expectation and the actual products and services offered by the Centres? 2.7.2 What is the GICHD's performance regarding its cooperation and coordination with other mine action actors, including governments, national authorities, UN agencies, research Centres, operators, and other relevant organisations? 2.7.3 Is the hosting of the Implementation Support Unit to the Anti-Personnel Mine Ban Convention and the Implementation Support Unit to the Convention on Cluster Munitions	Degree of achievement of outcomes of GICHD activities based on comparison of strategic plans with annual reports and other M&E reports Evidence of use of products and services by beneficiaries and external stakeholders Perceptions of stakeholders on expectations and products/services offered Perceptions of managers and staff on degree of outcome achievement Perceptions on effectiveness of hosting	Programme M&E documents Programme products Perceptions of programme managers Perceptions of partners Perceptions of beneficiaries Hosting agreement between the GICHD and the ISU APMBC and the ISU CCM (resp. between the GICHD and the	Document review Interviews SWOT workshop Field visits Survey with Centre staff

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		functional?		States Parties for the ISUs)	
	2.8 Programme effectiveness/ Specific to DCAF	2.8.1 Has DCAF increased its collaboration with the United Nations, the international financial institutions (World Bank, IADB), locally and regionally based strategic partner organisations and bilateral donors in the domain of security sector reform in terms of concrete products and services? 2.8.2 Has DCAF increased its support to police and justice-related and other SSR-related activities (globally or in specific countries) in terms of concrete products and services? 2.8.3 Is the scope of core competencies (thematic areas) and activity lines (services) adequate, contemporary and effective? 2.8.4 To what extent are the different departments of DCAF (including ISSAT) contributing to the overall DCAF objectives? 2.8.5 What types of immediate and intermediate outcomes can be observed as a result of DCAF's support to national and international actors in line with its corporate results framework? 2.8.6 Did DCAF manage to adopt a holistic approach to SSR and is its engagement strategic (influencing policy and programming, coordinated/joint approaches, sustainability etc.)?	Number of collaborative outputs with UN and multilateral partners at beginning of evaluation period compared with end of evaluation period Number of police-related and other SSR-related outputs at beginning of evaluation period compared with end of evaluation period Perceptions of management and staff on effectiveness of scope of thematic areas and services Spread of portfolio of activities between departments Degree of achievement of outcomes of GCSP activities based on comparison of strategic plans with annual reports and other M&E reports Perceptions of management and staff on degree of achievement of outcomes (immediate and intermediate)	Federal dispatch Programme M&E documents Programme and strategy documents Programme products Perceptions of programme managers Perceptions of partners Perceptions of beneficiaries	Document review Interviews SWOT workshop Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
		2.8.7 How is DCAF positioning SSR in the area of 2030 Agenda on Sustainable Development and the sustaining peace and prevention agenda in terms of concrete products and services?			
Efficiency	3.1 Are the Centres' financial sources being diversified and used in an optimal manner?	3.1.1 Have the financial sources for the three Centres been diversified adequately and to which extent? 3.1.2 Have the share of funds by other donors (not the Swiss Confederation) reached or surpassed the defined thresholds (GCPS: min. 15%; GICHD: min. 25%; DCAF: Min. 45% of the total revenue through contributions by other donors)?	Extent of diverse financial sources as a percentage of overall financial resources compared with defined thresholds	Financial information in annual reports Notes from the Steering Committee and FDFA Notes from the Foundation Councils	Document review Interviews
	3.2 Are the Centres optimising financial and human resources?	3.2.1 Do the Centres apply adequate financial management and control procedures, according to national and international standards? 3.2.2 Do the Centres make optimal use of the financial and human resources to produce the expected outcomes? 3.2.3 How do the Centres assure funding with mid-term and long-term perspectives?	Degree of alignment between Centre procedures and national and international standards for financial management and control Perception of adequacy between number of each Centre programme activities and human resources allocated Evidence of financial projections for mid- and long-term perspectives	External audit reports of each Centre Documents outlining financial management and control procedures of each Centre Perceptions of management staff for each Centre Perceptions of Council (Foundation Council and Bureau) members	Interviews Document review SWOT workshop with managers Survey with Centre staff
	3.3 Is there an	3.3.1 Is the proportion of personnel	Comparison between	Strategic plans	Interviews

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
	adequate balance between core and external experts?	expense between core experts (permanent staff) and external experts (temporarily mandated) adequate, measured in terms of outcome? 3.3.2 Are the profiles of the experts of the Centre's adequate to the needs? Are there gaps?	desired outcomes in strategic plans and spread of staff expertise Perception of adequacy between experts' profiles and Centres' operations	Human resources plans and related documents Financial documentation Perceptions of management staff at each centre	Documentary review SWOT workshop with managers Survey with Centre staff Survey with external stakeholders
	3.4 Efficiency/ Specific to DCAF	3.4.1 To what extent have the organisational structure and internal policies been efficient and contributed to the effective delivery of the Centres' strategies over the period under review?	Level of satisfaction of staff and management with structure and policies	Organigram Internal policies and strategies Perceptions of management staff	Documentary review SWOT workshops Interviews Survey
	3.5 Efficiency/ Specific to DCAF	3.5.2 What has changed in terms of organisation structure and internal policies since the 1st of January 2017? Are these measures adequate in order to contribute in a more effective and efficient way to the overall DCAF objectives?	Evidence of changes in organisational structure and policies since 1 st January 2017 Level of satisfaction of staff and management with structure and policies	Organigram Internal policies and strategies Perceptions of management staff	Documentary review SWOT workshops Interviews Survey with Centre staff
Sustainability	4.1 Can the operations and initiatives of the three Centres lead to some degree of sustainability?	4.1.1 To what degree does the completion of an intervention lead to a lasting change?	Evidence of sustained improvements in relevant contexts in countries where Centres have been operating Evidence of or belief amongst stakeholders of the contribution of Centres to relevant changes in context/situation in	M&E documents for programmes Perceptions of programme managers and staff at HQ and field level Perceptions of beneficiaries?	Interviews Documentary review Survey with Centre staff Survey with external stakeholders Field visits

EVALUATION CRITERIA	QUESTIONS	SUB-QUESTIONS	INDICATORS	SOURCES OF INFORMATION	DATA COLLECTION METHODS
			countries where Centres have been operating		SWOT analysis
		4.1.2 Do the beneficiaries continue to benefit from the interventions after the completion of an intervention?	Evidence of use of knowledge/product/service by beneficiaries after intervention Evidence that beneficiaries believe the intervention has influenced their behaviour	M&E documents for programmes Perceptions of programme managers and staff at HQ and field level Perceptions of beneficiaries?	Interviews Documentary review Survey with staff Survey with external stakeholders Field visits SWOT analysis
		4.1.3 What is the level of independent ability of a partner/government to continue the intervention after the Centre's support is discontinued?	Evidence of continuation of intervention by partner/government in selected countries	M&E documents for programmes Perceptions of programme managers and staff Perceptions of beneficiaries?	Interviews Documentary review Survey with staff Survey with external stakeholders Field visits SWOT analysis
	4.4 Are the Centres planning for their future?	4.4.1 Is the workforce adequate in terms of quality and quantity in order to implement the strategy, tasks and achieve the goals of the Centres? 4.4.2 Have the Centres implemented a formalised lessons learned (continuous improvement) process on the strategic level and based on regular checks, including measures to correct / improve unwanted developments?	Perceptions of management staff on the adequacy of workforce for the Centre in the future Evidence of processes to input lessons learned to operations and activities	Strategy and TOR for key staff HR policy and development documentation Perceptions of management staff	Documentary review SWOT Workshops Interviews

Appendix IV List of consulted stakeholders

During the evaluation, the evaluation team undertook one to one interviews, as well as leading SWOT workshops with groups of staff. Those interviewed were often – but not always - part of SWOT workshops. As such, we have listed those interviewed and those participating in workshops separately. However, in our count of the final number of people consulted listed in the description of the methodology in Appendix II, we have only counted each individual once.

1. GICHD

Interviews

NAME	POSITION
Becker, Martial	Assistant Director and Head of Division
Bold, Mikael	IMAS Secretariat (Former Head)
Bonnet, Marc	Head, Risk Management Division
Clarke-Schaller, Laurence	Human Resources Manager
Cottray, Olivier	Head, Information Management
Decaillet, Stephan	Financial Controller
Elias, Rana	Regional Cooperation Coordinator
Haering, Barbara	President of the Foundation Council
Hall, Tammy	Head of the Strategies and Standards Division
Loj, Gosia	RBM Manager
Maspoli, Gianluca	Advisor, Policy
Masseberg, Asa	Advisor, Strategic Management
Rapillard, Pascal	Head, external relation and Policy division
Rhodes, Guy	Director of Operations
Toscano, Stefano (Ambassador)	Director

SWOT Workshops

NAME	POSITION
Clarke-Schaller, Laurence	Human Resources Manager
Damjanovic, Stanislav	Advisor, Land Release and Operational Efficiency
Décaillet, Stephan	Financial Controller
Donatz, Jakob	Programme Officer

NAME	POSITION
Elias, Rana	Regional Cooperation Coordinator
Hofmann, Ursign	Policy Advisor
Massleberg, Asa	Advisor, Strategic Management
Repond, Jérémy	Policy and External Relations Officer
Vinek, Elisabeth	Information Management Support Coordinator
von Siebenthal, Andrea	Public Relations
White, Rob	Advisor, Strategic Management and Residual Contamination

Implementing Support Units and Gender Mine Action Programme

NAME	POSITION
Calza Bini, Arianna	Director, Gender Mine Action Programme
Bold, Mikael	IMAS Secretariat (Former Head)
Mweemba, Sheila	ISU-CCM Director
Provencher, Marion	Junior Programme Officer, Gender Mine Action Programme
Ruan, Juan Carlos	ISU-APMBC Director

2. DCAF

Interviews

NAME	POSITION
Ayman, Ayoub	Deputy Head of Middle East & North Africa Division
Badreddine, Sami	Senior Advisor on Media Relations, DCAF Tunis
Bennett, Anne	Deputy Head, Sub Saharan Division
Born, Hans	Head Division Policy & Research
Boujeh, Vidette	Legal Database Programme Manager, DCAF Tunis
Bradley, Véronique	Head, Human Resources
Bryden, Alan	Division Public-Private Partnerships
Buchmayer, Stefan	Tunisia Head of Mission, DCAF Tunis
Cellino, Andrea	Head North Africa Desk
Cole, Eden	Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Cuénod, Jean-Francois	Secretary; Head of South Cooperation, SDC
Dallafior, Sabrina (Amb)	Treasurer, Permanent Representative to the Conference on Disarmament, Treasurer GICHD

NAME	POSITION
de Torres, Daniel	Assistant Director, Policy and Research Department, Head of Gender and Security Division
Downes, Mark	Head Of Operations Department
Duerst, Patrick	Project Officer, Policy and Research Division
Farha, Sarah	Assistant, Human Resources Department
Fluri, Philipp	Head of Eastern Europe, South Caucasus, Central Asia Division
Gorret, Jordane	Junior Accountant, Administration, Financial Resources, Resources Department
Guerber, Thomas	Director, Ambassador
Hänggi, Heiner	Deputy Director, Head of Policy & Research Department
Hvidemose, Dorte	Project Coordinator, Middle East and North Africa Division
Kays, Rabieh	Senior Project Manager, DCAF Lebanon
Kobrovsky, Yury	Advisor to the Director
Leuthold, Arnold	Head of MENA division (with 4 country offices)
Miccichè, Claudia	Coordinator, Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Morand, Jolie-Ruth	Project Coordinator, Sub-Saharan Africa Division
Mueller, Daniel	Head, Financial Resources
Niakate, Mahamadou	National Expert (Mali), Inspecteur Général de Police (ER)
O'Brien, Elizabeth	Performance Management and Reporting Officer, ISSAT
Scherrer, Vincenza	Deputy Head, Policy and Research Division
Walker, Victoria	Head Of ISSAT, Assistant Director DCAF

Swot workshops

NAME	POSITION
Ayman, Ayoub	Deputy Head of Middle East & North Africa Division
Bennett, Anne	Deputy Head, Sub Saharan Division
Born, Hans	Head of Policy and Research Division (PRD)
Bradley, Véronique	Head of HR Unit (RES)
Bryden, Alan	Head of Division Public Private Partnerships (PRD)
Cole, Eden	Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
De Torres, Daniel	Head of Gender and Security Division (PRD)
Downes, Mark	Head of Operations Department

NAME	POSITION
Evans, Thammy	Deputy Head of ISSAT (ISSAT)
Fluri, Philipp	Head of Eastern Europe, South Caucasus, Central Asia Division
Fritz, Antje	Deputy Head of Division, Operations Department
Ghittoni, Marta	Project Assistant, Policy and Research Department
Guerber, Thomas	Director
Hanin, Antoine	SSR Advisor, ISSAT
Hanngi, Heiner	Deputy Director and Head of Policy and Research Department
Hoyos, Cristina	Head of Unit LAC (OPS)
Hvidemose, Dorte	Project Coordinator, Middle East and North Africa Division
Lala, Anicia	Senior SSR Advisor, ISSAT
Luethold, Arnold	Head of Division MENA (OPS)
Miccichè, Claudia	Coordinator, Deputy Head, Eastern Europe, South Caucasus, Central Asia Division
Morand, Jolie-Ruth	Project Coordinator, Operations Dpt
Mueller, Daniel	Head of Finance Unit (RES)
Priajina, Karina	Project Officer, Operations Dpt
Scherrer, Vincenza	Deputy Head of Division, Policy and Research Dpt
Schnabel, Albrecht	Head of Unit Asia-Pacific (OPS)
Stancic, Darko	Head of Division Southeast Europe (OPS)
Stitzel, Vanessa	Project and Finance Officer, ISSAT
Walker, Victoria	Head of ISSAT

3. GCSP

Interviews

NAME	POSITION
Allard, Julie	Project Coordinator, Director's Office
Al-Rodhan, Nayef	Head of Geopolitics and Global Futures Programme
Bühlmann, Christian	Head of Regional Perspectives Programme
Bultot, Amélie	Junior Programme Officer, Senior Executive Team- idem
Calmes, Priscilla	Head of Human Resources, Operations and Support Services
Dallafior, Sabrina	Ambassador, Permanent Representative of Switzerland to the Conference on Disarmament (Geneva), Treasurer of the Foundation Council

NAME	POSITION
Dussey, Christian	Director
Finaud, Marc	Senior Programme Advisor, Emerging Security Challenges Programme; Arms Proliferation Cluster Leader
Fink, Anna	Head of Resource Mobilisation and Marketing
Fleury Racine, Françoise	ICT Manager
Gargiullo, William	Chargé de mission
Gillet, Isabelle	Senior External Relations Officer, Alumni Affairs
Grau, Heidi	Ambassador, Head, Human Security Division, Directorate of Political Affairs, Federal Department of Foreign Affairs (Berne), Secretary of the Foundation Council
Guitton, Alice	Ambassador, Permanent Representative of France to the Conference on Disarmament (Geneva), Member of the Bureau of the Foundation Council
Heisbourg, François	Special Advisor, Foundation for Strategic Studies (Paris), Chairman of the Foundation Council
Hollins, Julie	Coordinator, Leadership in International Security Course (LISC)
Lindstrom, Gustav	Head of Emerging Security Challenges Programme
Martin, Siobhan	Senior Programme Officer and Deputy Head, Leadership, Crisis and Conflict Management Programme
Meyer, Philippe	Chief Operating Officer
Mohammad-Mahmoud Ould Mohamedou	Deputy Director, Academic Dean (2014- 2017) at GCSP Professor, Head of International History Department, Graduate Institute of International and Development Studies, Geneva
Orsich, Christina	Deputy Director
Pissis-Martel, Anne-Caroline	Senior Programme Officer, Coordinator of the Global Fellowship Initiative
Rickli, Jean-Marc	Cluster Leader, Global Risks and Resilience
Rivière, Marie-Laure	Client Base Manager
Roch, Philippe	Independent consultant (Geneva), Member of the Bureau of the Foundation Council – Canton of Geneva representative
Rouiller, Jean-Paul	Manager, Terrorism - Joint Analysis Group (T- JAG)
Rufyikiri, Gervais	Executive-in-Residence, Global Fellowship Initiative
Sheldon, Allan	Head of Finance

SWOT workshops

NAME	POSITION
Arqueros, Stéphanie	Senior Executive Assistant to the Director
Bühlmann, Christian	Head of Regional Perspectives Programme

Bultot, Amélie	Junior Programme Officer, Senior Executive Team
Cunningham, Peter	GCSP-CCL Leadership Alliance Co-Director; Leadership and Strategy Cluster Leader
Dussey, Christian	Director
Finaud, Marc	Senior Programme Advisor, Emerging Security Challenges Programme; Arms Proliferation Cluster Leader
Fink, Anna	Head of Resource Mobilisation and Marketing
Gambin, Rossana	Human Resources Manager
Garnier-Simon, Christine	Administration and Coordination Officer, Geopolitics and Global Futures Programme
Gillet, Isabelle	Senior External Relations Officer, Alumni Affairs
Ingelaere, Sophie	Course Coordinator, Global Support Group
Martin, Siobhan	Senior Programme Officer and Deputy Head, Leadership, Crisis and Conflict Management Programme
Matas, Alexandra	Senior Programme Officer, Regional Perspectives Programme, Effective Governance Cluster Leader
Meyer, Philippe	Chief Operating Officer
Orisich, Christina	Deputy Director
Pissis-Martel, Anne-Caroline	Senior Programme Officer, Coordinator of the Global Fellowship Initiative
Raykova, Radostina	Junior Programme Officer, Global Support Group
Rouiller, Jean-Paul	Manager, Terrorism - Joint Analysis Group
Sheldon, Allan	Head of Finance
Vestner, Tobias	Security and Law Cluster Leader, Security and Law Programme

4. Swiss Confederation

Comité de Pilotage

NAME	POSITION
Dallafior, Sabrina	Ambassador, Treasurer of the Foundation Councils GCSP, GICHD and DCAF
Diethelm, Robert	Head, Multilateral contracts and relations with armed forces, DDPS
Grau, Heidi	Ambassador, Head, Human Security Division, Directorate of Political Affairs, Federal Department of Foreign Affairs (Berne), Secretary of the Foundation Council
Grütter, Frank	Ambassador, Head of the Division for Security Policy - FDFA
Müller, Derek	Head of the South Asia and Conflict & Human Rights Division - SDC
Gansner, Patrick	Head, Strategic and international affairs, DDPS

Steuergruppe

NAME	POSITION
Antille, Pierre	Deputy Head, Strategic and international affairs
Frei, Peter	Scientific Collaborator, Regional Military Cooperation
Garraux, Francois	Deputy Head of Section, Multilateral Peace Policy - Federal Department of Foreign Affairs
Ilias, Fouad	Political Affairs Office Division for Security Policy - FDFA
Schaefer, Marcus	Head of Regional Military Cooperation
Schmid, Regula	Human Security Division, Ministry of Foreign Affairs

FDFA / DDPS Representatives

NAME	POSITION
Antille, Natacha	Head, Peace policy II section– DFAE
Cuénod, Jean-Francois	Secretary; Head of South Cooperation, SDC
Cuénoud, Jonathan	Legal Adviser - FDFA
Friedman, Rémy	Senior Advisor - Desk Human Security and Business - FDFA
Junker, Adrian	Scientific collaborator, Disarmament and non-proliferation
Lopez, Martha	Human Security Division, Ministry of Foreign Affairs, FDFA
Palmoso, Alessandro	Programme Officer, Humanitarian policy section
Rizzo, Claudia	Desk Officer, Training and Capacity Development - FDFA
Rosemann, Nils	Senior Advisor Conflict and Human Rights

NAME	POSITION
Siegrist, Michael	Legal expert, IHL and international criminal justice
Stössel, Gian-Luca	Security Policy Division, FDFA
Willi, Lucas	Regional Human Security Advisor, Swiss Embassy in Mali
Wollenmann, Reto	Deputy Head Section Arms Control and Disarmament - FDFA

5. Stakeholders external to the Geneva Centres (donors, partners)

NAME	TITLE AND ORGANISATION	REGARDING
Abdoul Aziz, Mahamadou	Chef de Cabinet, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Altyntseva, Natalia (Lt Col)	Deputy Head, International collaboration, Security service of Ukraine	GCSP
Bachmann, Robert	Human Security Advisor, Embassy of Switzerland to Ukraine and Moldova	DCAF/GICHD
Bevz, Colonel Andrii	Deputy Head of Division for organization of humanitarian demining, Emergencies Response Department, State Emergency Service of Ukraine (SESU)	GICHD
Bila, Kateryna	Head of Division for Non-proliferation and Arms Control, International Security Department, Ministry of Foreign Affairs	GICHD/DCAF/GCSP
Cuthbert, Col (Ret.) Andrew	Adviser on Parliamentary Affairs, NATO Representation to Ukraine, NATO Liaison Office	DCAF/GICHD
Dakouo, Ambroise	Coordinator, Governance Specialist, ARGAs – Alliance Malienne pour la Gouvernance en Afrique	DCAF (Mali)
Diallo, Ibrahima	Commissaire, Inspecteur Général, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Dombwe, Céleste	Commissaire Divisionnaire, point focal « Genre », Direction générale de la Police nationale	DCAF (Mali)
Erlach, Jeffrey	Deputy Head of Mission, OSCE PCU	DCAF/GICHD
Friz, Iryna	MP/Chairperson of the Subcommittee of Verkhovna Rada of Ukraine on National Security and Defence. Head of the Ukrainian parliamentary delegation to the NATO Parliamentary Assembly	DCAF
Gladkyy, Oleksandr	National Project Officer, Politico-Military Dimension OSCE PCU	DCAF
Irwin, Sharon	Deputy Director, NATO Representation to Ukraine, NATO Liaison Office	DCAF/GICHD

NAME	TITLE AND ORGANISATION	REGARDING
Keita, Boubacar	Chargé de programmes/Alerte précoce, West Africa Network for Peacebuilding (WANEP)	DCAF (Mali)
Lababbidi, Ahmad (Col.)	Programme Coordinator, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Lupan, Viktoria	WASH Officer, UNICEF office in Ukraine	GCSP
Massih, Marie Abdel (Col.)	Media & Mine Risk Education Section Head, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Melnyk, Oleksiy	Co-Director, Foreign Relations and International Security Programmes, Razumkov Centre	DCAF
Nasr, Ziad (Brig. General)	Director, Lebanon Mine Action Center (LMAC), Beyrouth	GICHD
Pokas, Georgios	Head of Operations, OSCE SMM	GICHD
Polyakov, Leonid I.	Chairman of the Expert Board, Center for Army, Conversion and Disarmament Studies (CACDS)	DCAF
Risser, Hans	Director, Norwegian People's Aid	GICHD
Rokun, Serhiy (Col.)	Deputy Head, Environmental and Mine Action Department; Head of Mine Action division, Ministry of Defence	DCAF/GICHD
Ruestsche, Norbert	Senior Advisor to the Minister, Ministry for Temporarily Occupied Territories and Internally Displaced Persons of Ukraine (MTOT)	DCAF/GICHD
Ruffy, Roger	Deputy Head of delegation, ICRC	GICHD
Sarzano, Roberta	Weapon Contamination Coordinator, ICRC	GICHD
Semionov, Mihail	Senior Mine Action Officer, OSCE SMM	GICHD
Shahramanyan, Yuri	Programme Manager, HALO Trust	GICHD
Sogoba, Daouda (Colonel-Major)	Inspecteur en chef, Ministère de la Sécurité et de la Protection Civile	DCAF (Mali)
Sow, Abdoulaye Modibo	Chef de Cabinet, DG Gendarmerie Nationale	DCAF (Mali)
Späti, Christoph	Deputy Head of Mission, Embassy of Switzerland to Ukraine and Moldova	DCAF/GICHD
Thera, Boubacar	National Coordinator, West Africa Network for Peacebuilding (WANEP)	DCAF (Mali)
Togola, Sounkalo	Chef du Bureau Communication, Conseil National pour la Réforme du Secteur de la Sécurité (CNRSS) - Mali	DCAF (Mali)
Tsermolonsky, Oleh	Desk Officer for China, Ministry of Foreign Affairs	GCSP
Vahtaric, Miljenko	Technical Adviser on Mine Action, OSCE PCU	GICHD
Verbiest, Fleur	Second Secretary, Embassy of the Netherlands in Mali	DCAF (Mali)

NAME	TITLE AND ORGANISATION	REGARDING
Watson, Hugh	First Secretary/Legal Adviser, Australian Permanent Mission to the United Nations	GICHD
Winkler, Theodor	Former DCAF Director, DCAF Geneva	DCAF
Zubarevskiy, Sergey (Col.)	Coordinator of improvised explosive devices (IED) division, Ministry of Defence	DCAF/GICHD

Appendix V Interview Protocols

1. Interview protocol for Foundation Council Members

Notes to evaluator

a. Tailor all questions to focus on the Centre with which the respondent has the most experience. Where appropriate, specific questions for a particular centre are listed as sub questions and marked accordingly.

Introduction

Universalis is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

This interview will focus solely on the Centre with which you are most involved.

Questions

- 1) Please briefly describe your role on the Federation Council for DCAF/GCSP/GICHD and how long you have been involved with the Centre.

Relevance

- 2) In your opinion, how well does DCAF/GCSP/GICHD analyse and manage trends and developments in their field (both globally and at a country level)?
- 3) Is the scope of DCAF/GCSP/GICHD's thematic focus and services adequate? What is your understanding of DCAF/GCSP/GICHD's relative strengths and weaknesses compared to other organisations working in this field?

Effectiveness

- 4) How satisfied are you with the work of the Foundation Council in supporting the Centre (providing strategic direction, financial oversight, risk analysis, programmatic support, monitoring/evaluation and reporting)?
- 5) Have there been any changes to the structure or workings of the Foundation Council since you have been a member? Have positions been strengthened and has this changed the Council's capacity to support DCAF/GCSP/GICHD?

- 6) Do you think DCAF/GCSP/GICHD has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, ...etc.)?

Efficiency

- 7) Is DCAF/GCSP/GICHD working efficiently, in your opinion? E.g. Are financial sources being diversified and used in an efficient manner, e.g. on time and in budget? Are human resources being used efficiently? Are there adequate financial and management control procedures?

Sustainability

- 8) Is DCAF/GCSP/GICHD planning adequately for the future, in your opinion?
- 9) To what extent do you believe that DCAF/GCSP/GICHD's work leads to lasting change? Do you know of any examples of where interventions have had a sustainable outcome?

Thank you for your time.

2. Interview Protocol for Swiss Confederation civil servants

Swiss Confederation Civil Servants – Questions on GSCP, DCAF, GICHD

Notes to evaluator:

a. This questionnaire can be used for Swiss Confederation civil servants in the Federal Department of Foreign Affairs, the Department for Defence, Civil Protection and Sport and any other Swiss Government department as necessary. Please tailor question 1 as appropriate. Some questions are tailored to those respondents who are members of the CdP or StG and are marked accordingly in brackets before the question.

b. Tailor all questions to focus on the Centre with which the respondent has the most experience. Where appropriate, specific questions for a particular centre are listed as subquestions and marked accordingly.

Introduction

Universalis is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

- 1) Please briefly describe your role in the Federal Department of Foreign Affairs/Department for Defence, Civil Protection and Sport and your relationship with each of the Geneva Centres you are involved with.

Relevance

- 2) How well does GCSP/DCAF/GICHD analyse and manage trends and developments in their field (both globally and at a country level) and strategically operate in a competitive global landscape?
- 3) Is the thematic scope of GCSP/DCAF/GICHD's services or country-specific offerings adequate? What is your understanding of GCSP/DCAF/GICHD's relative strengths and weaknesses compared to other organisations working in the same field?
 - E.g. are they well positioned and prepared to work in fragile states, in your opinion? Are gender considerations adequately taken into account in their work?

- [for GICHD only] Do the operational activities of GICHD correlate with Switzerland's vision in its Mine Action Strategies?
- 4) Are the GCSP/DCAF/GICHD's contributions relevant for the Swiss Confederation Security and Foreign Affairs? Do they respond to your needs and expectations?
- Are they aligned with the Federal Dispatch in terms of content?

Effectiveness

- 5) [If respondent is part of the CdP or StG] How satisfied are you with the current governance structure of the Centre e.g. the ability of the CdP/StG to oversee the work of the Centre? Is work divided efficiently and effectively? Is there any overlap with the work of the Foundation Councils?
- Are you aware of any adjustments to the governance structure since mid-2014? Have there been any measures taken to strengthen the Foundation Council or its Bureau? How has this improved effectiveness?
- 6) Do you think the Centre has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place ...etc)
- [For DCAF only] What has changed in terms of organisational structure and internal policies since 1 January 2017? Are these measures adequate for DCAF to achieve its objectives effectively and efficiently?
- [for GICHD only] Is the hosting of the ISU for the AMBC and the CCM functioning satisfactorily from your perspective?

Efficiency

- 7) Is GCSP/DCAF/GICHD working efficiently E.g. Are financial sources being diversified and used in an efficient manner, e.g. on time and in budget? Are human resources being used efficiently? Are there adequate financial and management control procedures?

Sustainability

- 8) 10. Is GCSP/DCAF/GICHD planning adequately for the future, in your opinion?
- 9) 11. To what extent do you believe that GCSP/DCAF/GICHD's work leads to lasting change? Do you know of any examples of where interventions have had a sustainable outcome?

Thank you for your time.

3. DCAF staff interview protocols

Introduction

Universalis is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

- 1) Please briefly describe your position and role at DCAF and how long you have been with the Centre.

Relevance

- 2) In your opinion, how well does DCAF analyse and manage trends and developments in security sector reform? How well positioned is it going forward in the context of the 2030 agenda on Sustainable Development/sustaining peace and prevention agenda?
- 3) Is the scope of DCAF's thematic and country work relevant to the needs of international stakeholders (e.g. governments, other organisations, NGOs, private actor, donors?)

Effectiveness

- 4) **[only for staff in management roles/those familiar with governance]** How satisfied are you with the current governance structure of the Centre? (e.g. has the Foundation Council set and communicated a clear strategy? Does the Foundation Council help navigate donor relations and funding risks? Does it support the work of the Centre adequately?)
- 5) **[only for staff in management roles/those familiar with governance]** How has DCAF's governance structure changed over time? Have any adjustments taken place since mid-2014? Any measures taken to strengthen the Council or the Bureau? How have these changes improved governance effectiveness?
- 6) How satisfied are you with the management structure? What has changed in terms of organisational structure and internal policies since 1 January 2017? Are these measures adequate for DCAF to achieve its objectives effectively and efficiently?
- 7) Do you think the DCAF has been effective in achieving its objectives? What outcomes have actually been achieved, based on its corporate results framework, and what factors do you think have contributed to this? (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, departments have clear strategies or input into objectives, holistic approach to SSR ...etc.).

- 8) How well does DCAF collaborate with partners in the domain of security sector reform? (e.g. UN, IFIs, bilateral donors, local or regional partners?)
- 9) How effective has DCAF been in monitoring the implementation and results of your strategies and programs? Have you applied a results-based management system?

Efficiency

- 10) Is DCAF working efficiently from a financial perspective? e.g. on time and in budget? Adequate financial and management control procedures?
- 11) Are human resources being used appropriately? Is there adequate balance between core and external experts in terms of the outcomes you want to achieve? Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?
- 12) Has DCAF been able to generate synergies with the other Geneva Centres? What examples do you know of?

Sustainability

- 13) Do DCAF's operations and initiatives have any degree of sustainability? E.g. Do you have examples of where an intervention has lead to lasting change or the beneficiaries have continued to benefit from an intervention after its completion? What factors support or limit sustainability?
- 14) Is DCAF planning for the future? In terms of assuring funding for mid- and long- term? In terms of the composition of the workforce?

Thank you for your time.

4. GCSP staff interview protocols

Introduction

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The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

- 1) Please briefly describe your position and role at GCSP and how long you have been with the Centre.

Relevance

- 2) In your opinion, how well does GCSP analyse and manage trends and developments in international peace and security? How well positioned is it going forward?
- 3) Do the thematic scope of GCSP meet the needs of stakeholders (e.g. governments, other organisations, NGOs, private actor, donors)?

Effectiveness

- 4) **[only for staff in management roles/those familiar with governance]** How satisfied are you with the current governance structure of the Centre? (e.g. has the Foundation Council set and communicated a clear strategy? Does the Foundation Council help navigate donor relations and funding risks? Does it support the work of the Centre adequately?)
- 5) **[only for staff in management roles/those familiar with governance]** How has GCSP's governance structure changed over time? Have any adjustments taken place since mid-2014? Any measures taken to strengthen the Council or the Bureau? How have these changes improved governance effectiveness?
- 6) How satisfied are you with the management structure? (e.g. effective communication, clear processes and guidelines, clear strategy and objectives, design of activities and roles, results monitoring, etc.).
- 7) Do you think the GCSP has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this? (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, departments have clear strategies or input into objectives, holistic approach to SSR ...etc.). Has GCSP extended its course programme and the circle of potential customers?

- 8) How effective has GCSP been in monitoring the implementation and results of your strategies and programmes? Have you applied a results-based management system and how well is this working? Are you applying lessons learned?

Efficiency

- 9) Is GCSP working efficiently from a financial perspective? e.g. on time and in budget? Adequate financial and management control procedures?
- 10) Are human resources being used appropriately? Is there adequate balance between core and external experts in terms of the outcomes you want to achieve? Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?
- 11) Has GCSP been able to generate synergies with the other Geneva Centres? What examples do you know of?

Sustainability

- 12) Do GCSP's operations and initiatives have any degree of sustainability? E.g. Do you have examples of where an intervention has lead to lasting change or the beneficiaries have continued to benefit from an intervention after its completion? What factors support or limit sustainability?
- 13) Is GCSP planning for the future? In terms of assuring funding for mid- and long- term? In terms of the composition of the workforce?

Thank you for your time.

5. GICHD staff interview protocols

Introduction

Universalis is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them.

Questions

- 1) Please briefly describe your position and role at GICHD and how long you have been with the Centre.

Relevance

- 2) In your opinion, how well does GICHD analyse and manage trends and developments in international peace and security? How well positioned is it going forward?
- 3) Do the thematic scope of GICHD meet the needs of stakeholders (e.g. governments, other organisations, NGOs, private actor, donors)?

Effectiveness

- 4) **[only for staff in management roles/those familiar with governance]** How satisfied are you with the current governance structure of the Centre? (e.g. has the Foundation Council set and communicated a clear strategy? Does the Foundation Council help navigate donor relations and funding risks? Does it support the work of the Centre adequately?)
- 5) **[only for staff in management roles/those familiar with governance]** How has GICHD's governance structure changed over time? Have any adjustments taken place since mid-2014? Any measures taken to strengthen the Council or the Bureau? How have these changes improved governance effectiveness?
- 6) How satisfied are you with the management structure? (e.g. effective communication, clear processes and guidelines, clear strategy and objectives, design of activities and roles, results monitoring, etc.).
- 7) Do you think the GICHD has been effective in achieving its objectives? What outcomes have actually been achieved and what factors do you think have contributed to this? (e.g. governance, organisational structure, programmatic effectiveness, clear strategy, donor relations, financial risk management, monitoring system in place, departments have clear strategies or input into objectives, holistic approach to SSR ...etc.).
- 8) How well does GICHD collaborate with partners in the domain of mine action? (e.g. UN, IFIs, bilateral donors, local or regional partners?)

- 9) How effective has GICHD been in monitoring the implementation and results of your strategies and programmes? Have you applied a results-based management system and how well is this working? Are you applying lessons learned?

Efficiency

- 10) Is GICHD working efficiently from a financial perspective? e.g. on time and in budget? Adequate financial and management control procedures?
- 11) Are human resources being used appropriately? Is there adequate balance between core and external experts in terms of the outcomes you want to achieve? Are the profiles of the experts of the Centres adequate to the needs? Are there gaps?
- 12) Has GICHD been able to generate synergies with the other Geneva Centres? What examples do you know of?

Sustainability

- 13) Do GICHD's operations and initiatives have any degree of sustainability? E.g. Do you have examples of where an intervention has lead to lasting change or the beneficiaries have continued to benefit from an intervention after its completion? What factors support or limit sustainability?
- 14) Is GICHD planning for the future? In terms of assuring funding for mid- and long- term? In terms of the composition of the workforce?

Thank you for your time.

6. Questionnaire for LMAC staff working with GICHD in Lebanon

Introduction

Universalialia is conducting an External Evaluation of the Geneva Centres. The Geneva Centres comprise of the Geneva Centre for Security Policy (GCSP), the Geneva International Centre for Humanitarian Demining (GICHD), and the Geneva Centre for the Democratic Control of Armed Forces (DCAF). The evaluation is mandated by the Swiss Federal Parliament through the framework credit 2016-2019. The scope of the evaluation covers the period between 1 July 2014 and 30 June 2017.

The evaluation is for accountability and learning purposes. It will account for the activities of GCSP, GICHD and DCAF between mid 2014 and mid 2017 as well as contributing to the corporate development of the three Centres and foster the processes of formulating a strategy paper for each Centre.

The evaluation focuses on assessing the relevance, effectiveness, efficiency and sustainability of each of the Centres individually, as well as providing insights on the synergies between them. This interview focuses mainly on your interaction with GICHD.

Questions

- 1) Please briefly describe your position and role at LMAC and your interaction with GICHD.
- 2) What is the added value of GICHD to your work at LMAC? How does GICHD support you?
- 3) Do you have a focal point at the GICHD office in Geneva?
- 4) What are the strengths and weaknesses of GICHD in its support to you in Lebanon? E.g. Is GICHD's regional cooperation programme working well or could something be done better?
- 5) Do you have any examples of where your work with GICHD has lead to lasting change? E.g. has GICHD supported the development of national strategies on demining issues?
- 6) Have you had any interaction with DCAF in Beirut? If so, please describe.
- 7) Do you have any additional comments you would like to share with us regarding GICHD?

Thank you for your time.

Appendix VI Consolidated findings from SWOT workshops

1. DCAF

STRENGTHS	WEAKNESSES
DCAF staff are diverse in three ways: gender (more equal at operational levels than management levels); professional background, nationality.	Ongoing organisational reform needs time and patience to bear fruit. The organisational structure during the earlier part of this evaluation was seen as a weakness, particularly on HR, internal and external communications, delegation of responsibilities and slow, unclear decision-making processes, financial management and planning. The business model was top heavy.
DCAF has a unique organisational focus and profile (USP): works with and convenes diverse stakeholders in SSR/SSG; guided by the principle of local ownership; combines policy and practice; a learning institution that monitors results.	Sense that they are not using financial and human resources and data on these resources as efficiently as possible. Gender diversity at management levels is not as strong as at operational levels.
Strong network of experts, partners and donors. They believe they have positive donor relations, with long-term relationships (5-6 years) and with recipient states.	Still consolidating RBM and peer-to-peer learning across the organisation. This is not yet systematic across the divisions.
Field presence means that DCAF has the capacity to sustain long term operations in the field. They are also seen as a credible, trusted partner in country, with good access to information.	DCAF name is seen as political and not appropriate for the work that they do.
Credibility, quality and rigour of services and products.	There is a perception from Division Heads and operational staff that the decision-making processes are long, centralised and unclear.
Move to Maison de la Paix and the management reform process are supporting the development of a stronger, united DCAF. The move has given them a clearer sense of being “one DCAF” and helped with internal communications. However, still early to say what outcomes the reforms will have.	Legal personality in Switzerland can have an impact on how they are perceived by partners, the protections and status they are given in the field and the types of EU funding they are allowed to access. “Swissness” of the governance structure and how this affects how other states engage with them.
Good reputation and brand thanks to location and legal personality Switzerland – Swiss values of impartiality and neutrality permeate DCAF’s identity and reputation. Seen as a trusted partner and honest broker.	Location in Geneva means that they have high overheads and constraining labour laws, particularly for junior staff.

STRENGTHS	WEAKNESSES
The move has also increased work with the other Centres, including through the Gender Hub, Peacebuilding Platform, joint events and publications.	
OPPORTUNITIES	THREATS
There are growing international needs on SSR/SSG	There is a proliferation of needs in fragile contexts, which DCAF does not necessarily have the capacity to operate in safely.
SSR/SSG is a key part of the SDG agenda through Goal 16	Donor demands are often focused on short term solutions, outputs rather than outcomes.
An expanding base of potential donors	Increasing privatisation of development work and proliferation of new organisations in SSR/SSG: private consultancies are also working in this space and have a very different approach and understanding. This could be complimentary but could also be competitive, particularly as DCAF has a lower capacity to compete in tendering processes than private firms.

2. GCSP

STRENGTHS	WEAKNESSES
Location in Geneva and Maison de la Paix. Neutrality creates a safe environment for participants and is important for the GCSP mandate.	Engagement of the 52 members of the Foundation Council with activities and fundraising.
Convening power and networks. Alumni from 165 countries collected into regional alumni hubs, 800 external experts and guest speakers, good relationships with international organisations (UN, NATO, etc).	Low visibility and lack of marketing capacity. GCSP name does not fully represent what they do. Most participants come to them via word of mouth. No strategy for publications and research in terms of marketing.
Good reputation and respected institution with quality, certified programmes and growing visibility internationally. There is a positive perception of the Centre among alumni and experts who are happy to be advocates for the Centre's work.	Funding dependency and fundraising capacity – 80% of their income is from Switzerland and they do not feel like they have a strong capacity to fundraise at the moment.
Diversity and know how of staff and participants – staff have expertise in methodologies of training, different professional backgrounds, nationalities, gender balance throughout the organisation.	Capacity to balance outreach to new clients with nurturing of existing ones.

STRENGTHS	WEAKNESSES
Committed and adaptable staff in an inclusive and open work environment. Staff have good interpersonal relations, work well together and believe in the vision and mission of the organisation.	Some internal processes are long and inefficient, e.g. travel policies. There is long and unclear decision-making process from perspective of operational staff. Internal communications could be improved as operational staff do not always know what others are doing or what action points are being followed up.
Positive relationship with Switzerland, not just in terms of funding but also access to high-level decision makers and influence over policy.	Gaps in staff understanding and expertise – finding a balance between the breadth and depth of internal expertise.
Strategic coherence with current environment.	Rapid change in business model still needs to be consolidated. They have almost tripled the number of courses they deliver since 2013 and need to improve project management, quality assurance capacities and resources.
Teaching methods have evolved and developed rapidly since 2013, showing adaptability and innovation of staff.	Seen as a tool for Swiss politics by Swiss Government.
Financial sustainability	Lack of consistency in quality management across all courses since increase in number of courses delivered.
Incubator hub develops innovative ideas e.g. Mediation and Neuroscience course.	Weakness of partnerships in private sector.
	Not enough focus on results or understanding of where GCSP has the most impact.
	Need for more strategic engagement with multilaterals.
	High overheads and costs because they are based in Geneva.
	Maison de la Paix architecture was not designed for providing space for training and education.
OPPORTUNITIES	THREATS
Growing need for courses and expertise provided by GCSP given international instability.	Strong Swiss Franc makes cost to participants higher.
Exponential advances in technology provide opportunities to consider and develop innovative training methodologies.	Rapidly changing technology makes it difficult to keep up with competition.

STRENGTHS	WEAKNESSES
Strong Swiss Franc and positive global economic growth.	Competition in executive leadership course from a wide range of actors – think tanks, NGOs, universities, business schools, military academies, etc.
Private sector as an untapped market for tailor-made courses.	Competition for funding.
Potential synergies with other Centres and international Geneva.	Potential political shifts in Switzerland and diminished support for the Centre
New funders looking to build capacity of actors in Global South on GCSP issues.	Client needs follow the trends in international affairs, which can change rapidly. They need to improve their capacity to analyse and react to developing needs.

3. GICHD

STRENGTHS	WEAKNESSES
Expertise, knowledge, diversity and experience of technical staff. GICHD is a recognised resource centre in the sector.	High staff turn-over and lack of institutional memory. Operational staff feels that more could be done to attract and retain top talent.
Provide a space to facilitate innovation, a safe space to think.	They do not offer opportunities for staff in the field.
Results-Based Management has been learned by doing by the staff and although the process has been trial and error they are happy with the instruments and architecture they have developed and are implementing.	Capacity – the management team sometimes feels like it is spread too thin. Operational staff feel that they lack project management skills. Staff responsibilities are not always in line with the size of the organisation of the terms of reference.
Funding. They have secure funding from Switzerland that supports planning and have increased external sources of funding.	Location in Geneva results in a degree of remoteness from the field; there is a tension between being experts and implementers.
Governance structure has been reformed and will be implemented in January 2018.	Seen as a Swiss organisation as opposed to international.
Human Resources: they have 1/3 internal and 2/3 external staff. They have a competitive package of salaries and benefits.	Staff tension – division of staff across three floors grouped by area affects internal communications and there is tension between operational and administrative/support staff.
Positioned as a spokesperson for mine action and keep the issue on the agenda by shifting their approach to communications.	

STRENGTHS	WEAKNESSES
Neutrality. Being based in Geneva and associated with the Swiss brings a sense of independence.	RBM – operational staff feel it takes a lot of time and can be a distraction from their main focus. They see this is a leadership issue and that there should be a cost benefit analysis of whether RBM is worth the effort required.
Network/outreach and access to key actors in mine action sector.	Organigram issues – currently the head of operations is also the head of fundraising and RBM position needs to be reviewed as it is currently with the Director who, by the nature of his function, is not part of the Directorate of Operations.
Organisational size and presence – “feasible” size that enables staff to get to know each other, good working environment and 60+ country organisational footprint.	Issues with internal communications – while there are several mechanisms and processes in place to share information (e.g. biannual review process of implementation at country level, regular staff meetings, informal breakfast meetings, internal weekly newsletter), operational staff reported that they had difficult understanding what other teams and staff are doing.
Flexibility. Current structure and funding enables them to respond to unplanned activities/opportunities. But need to balance long-term objectives with responsiveness.	Difficulty communicating results from the field.
Field presence, but not present in the field – they can enter a country as an external partner.	Lack of field presence.
	Limited Arabic speakers in house.
	The name of the Centre is limiting and does not represent the current portfolio, which extends beyond traditional demining.
OPPORTUNITIES	THREATS
Maturity in Mine Action Sector. Their work on standards and information management architecture puts them in an ideal position to connect with other sectors and areas.	Declining funding in mine sector.
New markets in Syria, Myanmar, Yemen, Libya, North Korea.	Reputational risks if they are lacking capacity to deliver on expectations (e.g. keeping up to date with gender in mine action).
International events and agendas: 2030 Agenda, 20 th anniversary of the Ottawa treaty.	Competition for experts.

STRENGTHS	WEAKNESSES
New funders, although reaching out to new donors has been difficult.	Increased competition with organisations that were traditionally partners e.g. Norwegian People's Aid, UN agencies.
Maison de la Paix and potential for synergies with the other Centres.	Donor driven agendas and lack of commitment from donors. The Centre will occasionally allow donors to drive in the opposite direction of GICHD strategy, earmarked money compromises their independence. Donors are mainstreaming demining issues with humanitarian and development desks, affecting the donor ecosystem.
	Failing to deliver on Agenda 2025 is a threat that the organisation needs to consider.
	Focus on Middle East diverts donor funds and attention from other countries in which they work e.g. Sri Lanka.

Appendix VII List of Documents Consulted

Swiss Confederation

Minutes of the Comité de Pilotage 2014-2017

Message concernant un crédit-cadre pour la poursuite du soutien aux trois Centres de Genève due 17 novembre 2010, 10.095

Message concernant un crédit-cadre pour la poursuite du soutien aux trois Centres de Genève pour les années 2016 à 2019 du 19 novembre 2014, 14.091

Messages concernant la coopération internationale 2013-2016 (12.029) and 2017-2020 (16.022)

Swiss Anti Mine Strategies 2012-2015 and 2016-2019

Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva Centre for Security Policy (GCSP) for 2014, 2015, 2016 and 2017

Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva International Centre for Humanitarian Demining for 2014, 2015, 2016 and 2017

Annual Agreements between the Swiss Confederation, represented by the Federal Department of Foreign Affairs and the Geneva Centre for the Democratic Control of the Armed Forces for 2014, 2015, 2016 and 2017

Brochure Suisse Etat hôte, DFAE, 2017

Letters

Letter from Ambassador Christian Meuwly, Head of the Swiss Mission to NATO to Ambassador Christian Dussey, Director of GCSP on 12 December 2017, "Cooperation entre la Mission Suisse auprès de l'OTAN et le GCSP"

DCAF

INTERNAL DCAF DOCUMENTS

Annual reports 2014 - 2016

Performance Report 2016

Audited financial statements 2014 - 2016

Annual

DCAF Statute and by-laws

Strategies

DCAF Strategy Paper 2016-2019

INTERNAL DCAF DOCUMENTS

DCAF Regional and Thematic Strategies 2017-2019

DCAF Assistance to Security Sector Reform in Tunisia. Country Strategy 2017-2019

DCAF Assistance Programme in Lebanon: Country Strategy 2017-2019

Documents relating to financial audits

Overview of measures taken or planned by DCAF as a follow up to the recommendations contained in the SFAO management letter “Audit de la subvention 2015 accordée par la Confédération suisse au DCAF”. Undated

External evaluations

Channel Research. 5 April 2014. *Partner Assessment of DCAF – the Geneva Centre for the Democratic Control of the Armed Forces: Final Report*

Contrôle fédéral des finances. 27 March 2017. *Audit de la subvention fédérale accordée au Centre pour le contrôle démocratique des forces armées*. Direction politique et Direction du développement et de la coopération du DFAE

External Evaluation of DCAF 2010: Executive Summary

Van Essche & Associates. Information Management at DCAF – Short analysis and Road Map. 4 December 2016.

BL Meyer & Sanz. External evaluation of the DCAF Trust Fund for Security Sector Development Assistance in North Africa (TFNA) – final report. 11 April 2016

Charts

DCAF Organizational Structure as from 1 January 2017

Organisational Process Task Teams 1-4 v2. Undated

Correspondence

Exchanges between Ambassador Thomas Guerber to MR Didier Monnot and Mr Alexandre Blauer, Contrôle fédéral des finances

Internal policies

DCAF Corporate Communications Policy. 18 December 2017

Crisis Management Plan Aide Memoir Issue No 2. 9 November 2017

ISSAT

INTERNAL DCAF DOCUMENTS

ISSAT Annual reports 2014 - 2016

ISSAT Mid-year reports and infographics 2014 - 2017

ISSAT Gender and Security Sector Reform. 2016

ISSAT Programme of Work and Budget 2016-2019

ISSAT Organisational Development and Enabling Operational Effectiveness - Draft. 20 November 2017

Human resources policies

DCAF Internships policy. 30 May 2016

Management by Objectives: Policy and guidance related to the MbO process. 28 May 2017

DCAF Policy on Seconded Personnel/ 26 November 2013

Policy on the protection of personal integrity of staff. 20 December 2017

Rules and regulations. June 2013

DCAF salary grid for Geneva-based staff members. 1 April 2017

Travel safety and security policy. May 2014

Reimbursement of travel related expenses. 2017

Reimbursement of non-travel related expenses. April 2017

Delegation of authority and deputization arrangements. 15 May 2017

Subject Matter Experts/Consultancy fees. 13 September 2017

Generic job descriptions for ISSAT: Administrative Assistant, Finance and Administration Coordinator, PRMO, Professional Development and Training Coordinator, Professional Development and Training Project Officer, RA-PA, Senior SSR Advisor, SSR Advisor and Head of OAK, SSR Advisor, SSRO, Deputy Head of ISSAT, Head of SSAT

Meeting minutes

Minutes of the Foundation Council Bureau between 13 May 2014 and 14 November 2017

Minutes of the Foundation Council between 13 May 2014 and 14 November 2017

Monitoring and evaluation documents

Security sector development in Tunisia. Country assessment and results monitoring. 2016

Mapping of Tunisia projects in the Theory of Change.

INTERNAL DCAF DOCUMENTS

Results Planning Tunisia 2017

PowerPoint presentations

Generic job descriptions: Project Scope and status. 22 August 2017

GCSP

INTERNAL GCSP DOCUMENTS

GCSP Statutes, révision mai 2013

Conseil de Fondation GCSP, conditions d'adhésion, no date

Annual reports 2014, 2015 and 2016

Mid-year activities report, first semester 2017, 31.07.2016

Audited Financial Statements 2014, 2015 and 2016, PricewaterhouseCoopers SA

GCSP budget report 2017, 29.11.2016

Developments at the GCSP (1 August 2013-12 May 2014), report of the Director to the FDFA/DDPS Comité de Pilotage, 16.03.2014

GCSP Publications list 2014-2017. Undated

Service Catalogue GCSP Information & Communication Technology (ICT), 15.06.2016

Dossier GCSP pour certification EduQua, février 2017

Charts

GCSP Organisation Chart 2017

Strategies

Destination statement 2014

GCSP plan stratégique 2014 -2010, septembre 2014

GCSP Alumni Affairs Strategy 2017-2020

Resource Mobilisation and Marketing: Strategy – Goals and Objectives – Needs. 10 May 2016

Marketing Toolkit and Sales and Funding Strategy Framework. 23 March 2017

GCSP Growth and Funding Strategy Proposal. 31 May 2017

GCSP Gender and Diversity Strategy, 2017

Correspondence

INTERNAL GCSP DOCUMENTS

Monthly emails from Ambassador Dussey to GCSP staff, January 2017 - November 2017

Letter from OSCE SMM HR/Training Unit on “Feedback on the cooperation and provision of training by the Geneva International Centre for Humanitarian Demining for the Special Monitoring Mission to Ukraine”. 11 August 2016

Réponse des trois Centres aux recommandations ciblées de l'évaluation, lettre 20 mars 2015

Human resources policies

GCSP Employee Handbook

Reimbursement of professional expenses 2017

Interns Policy 2017

Mission travels policy 2017

Performance management policy 2017

Secondment policy 2017

Staff development policy 2017

Summer internships policy 2017

Tuition fees discounts policy 2017

Flexitime policy 2017

Family Policy 2017

Internal evaluation and feedback documents

GCSP Information & Communication Technology, Business Impact Analysis and Risk Assessment, January 2017

Survey on the Defence Attaché Courses 2013-2015, Defense and Diplomacy Cluster, GCSP, 24.08.2016

Rapport sur une stratégie en Afrique subsaharienne, Cdt C (retr) Luc Fellay, 05.08.2016

LISC Course Report and analysis of feed back 12.10.2015-27.05.2016

LISC Course Report and analysis of feed back 10.10.2016-26.05.2017

Publications and interviews list, Jean-Marc Rickli, November 2017

Publications and interviews list, Christina Liang

Publications and interviews list, Jean-Paul Rouiller

Publications and interviews list, Marc Finaud

INTERNAL GCSP DOCUMENTS

Marketing

Institutional brochure. *Preparing leaders to face international security challenges*. No date

Institutional brochure. *Extraordinary courses for extraordinary times*, the GCSP. No date

Course Calendar 2017. *Executive Education to address global security challenges*. 10.2016

GCSP Catalogue 2018. *Executive education to address global challenges*. 11.2017

20 Years of Constructive Change in Peace and Security in the World. Global Security Transformations – Past, Present and Future Challenges. Security Policy Conference, 29-30 May 2015.

Leaflet GCSP's Alumni network. No date

Leaflet Global Fellowship Initiative, Incubating creativity and innovation. No date

Leaflet Global Fellowship Initiative, Fellows reflect on their experience, 2016-2017

Leaflet GCSP & Geneva permanent Missions, opportunities for cooperation. No date

Leaflet GCSP & your ministry. Opportunities for cooperation

Meeting minutes

Foundation Council meeting summaries between 12.05.2014 to 15.11.2017

PowerPoint presentations

GCSP Strategy Map 2015 PowerPoint Presentation. No date

Measuring Impact at the GCSP PowerPoint presentation. No date.

GCSP strategy implementation and Monthly KPI Dashboard, PowerPoint presentation 13.02.2017

Timeline of developments that have shaped GCSP's identity in recent years, PowerPoint presentation November 2017

Le GCSP, la Global Fellowship Initiative et l'universalisation de la Genève internationale. PowerPoint presentation avril 2017

RMM KPIs- Evaluation, PowerPoint presentation 27.11.2017

Global Fellowship Initiative, PowerPoint presentation 2017

A selection of teaching materials from Peter Cunningham; Marc Finaud; Fleur Heyworth; Vestner Tobias, provided to the evaluation team

INTERNAL GCSP DOCUMENTS

Spreadsheets

Spreadsheets on 2017 financial statements provided by GCSP

Document detailing human resources data prepared by GCSP

Calendar of courses and events 2017-2018

Course Evaluation Overview 2017

Alumni Affairs, report 2014-2016

Alumni Affairs, implementation Plan 2016

Other

Rapport d'Audit du GCSP, Procert, 22.02.2017

Christian Bühlmann (2017) "La contribution du GCSP au rayonnement international de l'armée suisse" in Hans-Christof Schregenerberger, Thomas Sprecher, Heinz Spross et Robert Zingg (Eds) Sicherheit - Die Schweiz in einer unsicheren Welt, Stämpfli Verlag AG, Bern, p. 181-185

External evaluation, Senior level course on Peacebuilding, enhancing leadership, submitted to DFAE, Gudrun Van Pottelbergh, 16.02.2017

Articles listed in document detailing list of Ukraine News Stories, Events and Publications: 2014-2017

Images of Tweets about GCSP activities in Ukraine

GICHD

INTERNAL GICHD DOCUMENTS

Annual reports 2014-2016

Audited Financial Reports and Financial Reports to the Council of Foundation 2014-2016

GICHD Statute 2009

Performance Report 2016

Implementation Support Unit Hosting Agreements for APMBC and CCW

GICHD Brochure 2016

INTERNAL GICHD DOCUMENTS

Charts

Organizational Chart 2017

Strategic Chart 2015

Human resources documents

Terms of Reference provided by GICHD: Head, Support and Administration; Head, Risk Management; Head Information Management; Head, Strategies and Standards; Head External Relations and Policy; Director of Operations

Meeting minutes

Advisory Board minutes 2014-2017

Foundation Council minutes 2014-2017

Memoranda of understanding

Memorandum of Understanding between Ministry of National Defence Represented by Lebanese Armed Forces Lebanon Mine Action Center (LMAC) and GICHD on Cooperation for the management and coordination of the Arabic language outreach programme for mine action. 2015

Policies

GICHD Gender and Diversity Action Plan 2017

GICHD Gender and Diversity Policy

RBM documents

Documents pertaining to the RBM system: RBM Check in minutes, Peer Review Process, Planning Weeks Steering Plan overview, 6 pillars end of year summary and documents, Project approval process and criteria, Planning for Results 2017 – instructions, Annual cycle

Strategies

Communication Strategy 2016-2018

GICHD Strategic Plans 2012-2014, 2016-2018

INTERNAL GICHD DOCUMENTS

Spreadsheets

Allocation of 2016 Swiss Contribution Spreadsheet provided by GICHD

Consultant vs Payroll Spreadsheet provided by GICHD

Reports

Report: Workshop on Mine Action Standards 31 October – 1 November 2017

Executive Summary: Lebanon

Transitioning Mine Action Programmes to National Ownership: Lebanon. March 2012

Documents on joint activities in the Maison de la Paix

Maison de la paix : Multiplying impact for the benefit of peace, security and sustainable development. 29 April 2016

A vision for the Maison de la paix

Service Catalogue : GCSP Information and Communication Technology (ICT). Version 4. 15 June 2016

GCSP Information and Communication Technology : Business Impact Analysis and Risk Assessment. Version 2. January 2017

Cooperation DCAF-GICHD. December 2017

Memorandum of Understanding between the OSCE in Ukraine, DCAF and GICHD. Undated

Spreadsheets

Applications synergies spreadsheet prepared by ICT Department at GCSP

Maison de la Paix joint projects 2016

Maison de la Paix joint projects 2017

Infographic

A place to meet, think and act

Other sources

External Evaluation of the Geneva Centres, GCSO, GICHD and DCAF 2013-2013. (2014). InnovaBridge Foundation

Buhlmann, Christian. (2017). La contribution du GCSP au raoyonnement international de l'armee suisse. In Schregenberger, Hans-Christof, Sprecher, Thomas, Spross, Heiz and Zingg, Robert (eds) *Sicherheit – Die Schweiz in einer unsicheren Welt*. Bern: Stampfli Verlag AG. Pp. 181-185

Lebanon Mine Action Center. Annual Report 2016

Appendix VIII Survey Templates

1. Staff survey for the evaluation of the three Geneva Centres

Introduction

This survey supports the external evaluation of the Geneva Centres, which is mandated by the Swiss Parliament and is being conducted by Universal Management Group, a Canadian consulting firm.

As part of the data collection process for the evaluation, the evaluation team is seeking perspectives from Centre staff. Your participation will help the evaluation team gain a better understanding of Centre's relevance, effectiveness, efficiency and sustainability with regards to the Centres' governance and management structures, results, results monitoring, thematic scope, activities and synergies with the other Geneva Centres in La Maison de la Paix.

We encourage you to complete the following survey so that we can include your perspectives in the evaluation's analysis. The pilot survey and evaluation questionnaire should take no longer than 30 minutes to complete.

Please be assured that all information gathered will be treated confidentially.

We kindly ask that you complete the pilot survey and the evaluation questionnaire online before close of business on 26 January 2018.

Thank you for your time.

Please choose your organisation

- DCAF
- GCSP
- GICHD

Please select the stakeholder group that best suits your current position:

- Operations
- Research / Policy
- Administration
- Other [please specify] _____

What is your gender?

- Male
- Female
- Prefer not to say

Section 1: Services provided by the Centre

1. Please select the answer that best reflects your perception of the Centre you work with among the following statements:

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
1.1. My work responds to the needs of the stakeholders I work with (Evaluation Question (EQ) 1.1.2)						
1.2 The Centre has actively raised its profile among stakeholders in the past 3 years (EQ1.4.1)						
1.3 The scope of the work carried out is appropriate for the needs expressed by its stakeholders (EQ1.7.1)						
1.4 Stakeholders ask us for services that we cannot provide (EQ1.7.1)						
1.5 From your perspective, the services the Centre provides is fit for purpose in fragile state contexts (EQ1.1.5)						
1.6 Gender and diversity are taken into consideration in the Centre's training, operations, and activities (EQ1.5)						

1.7 Do you have any additional comments relating to the relevance of the Centres' services?

Section 2: Synergies among the Centres and with the Swiss Confederation

2.1 Has the move to the Maison de la Paix allowed for more synergies to be developed with one or more of the other Centres (e.g. joint publications, training, workshops, sharing lessons learned, etc.). If yes, why is this the case? (EQ1.4)

- I do not collaborate with the other Centres in my area of work. [skip question 2.2, go straight to 3.1]
- I did not work for the Centre before the move and so could not say. [skip question 2.2, go straight to 3.1]

2.2 Is there any other way in which the move to the Maison de la Paix has positively or negatively impacted your work? (EQ1.4)

- I do not collaborate with the other Centres in my area of work.
- I did not work for the Centre before the move and so could not say.

Section 3: Management and Governance

3. Please select the answer that best reflects your thoughts regarding the effectiveness of the management and governance structures of the Centre (EQ 2.1, 2.3 and 2.4)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
3.1 I am satisfied with the governance structures of the Centre (e.g. the Foundation Council and its Bureau, Advisory Board) (EQ2.3.2)						
3.2 I am satisfied with the management structures of the Centre (EQ2.3.2)						
3.3 Strategic objectives (as defined by the corporate results framework; or more concretely, immediate and intermediate outcomes) and their means of implementation are communicated clearly and effectively by senior management (EQ2.3)						
3.4 The strategic direction of Centre is clear to me (EQ2.3)						
3.5 There are adequate guidelines and policies to allow me to work efficiently (EQ2.3)						
3.6 Work is organised so that each person can see the relationship between his or her task and the strategic objective they are working towards (EQ2.3)						
3.7 Authority is delegated appropriately so that people can do the work they are responsible for (EQ2.3)						
3.8 Lessons learned are regularly incorporated into my work (EQ4.4.2)						
3.9 Problems arise because we do not have the skills necessary to do the job (EQ3.3.2)						
3.10 I am satisfied with the financial management of the Centre (EQ1.3)						

3.12 Would you like to add anything else on your perspectives of the management and governance of the Centre?

Section 4: Results

4. To what extent do you agree with the following statements regarding the effectiveness of Centre's activities? (EQ2.5 and 2.7)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
4.1 The Strategic objectives (as defined by the corporate results framework; or more concretely, immediate and intermediate outcomes) of the Centre are attainable and realistic (EQ2.5.1)						
4.2 The products and services provided by the Centre are of high standard (EQ 2.5)						
4.3 The Centre is on track to meet its strategic objectives outlined in its strategic plan (EQ2.6)						

4.4 What factors **support** the Centre's ability to achieve results? (up to three) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.5 What factors **limit** the Centre's ability to achieve results? (up to three) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work? (EQ2.5)

4.7 Is there a system in place to monitor results? How well is this working? (EQ2.2)

Section 5: Efficiency

5. To what extent do you agree with the following statements on the efficiency of the Centre overall?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
5.1 The outputs of the projects I work on have been achieved on time (EQ3.2)						
5.2 The outcomes I am responsible for could not have been achieved with less financial resources (EQ3.2)						
5.3 Some duplication of roles and functions occurs among staff at the Centre (EQ3.2)						
5.4 The proportion of core experts (permanent staff) and external experts (temporarily mandated staff) is appropriate for the outcomes we are working towards (3.3.1)						
5.5 The profiles of core experts are adequate for Centre's needs (3.3.2)						
5.6 Internal policies and guidelines are readily available (EQ3.2)						
5.7 Information sharing on internal policies is transparent (EQ3.2)						

[Section 6. Insert tailored questions here for each centre – see section with tailored questions below]

Section 7. Final Comments

1. What are the Centre's strengths?

2. What are Centre's weaknesses?

3. What are the opportunities you perceive in Centre's operational environment?

4. What are the threats you perceive in Centre's operational environment?

5. Are there any additional comments you wish to make for consideration by the evaluation team? (up to 75 words)

Questions specific to each Centre to be inserted in Section 6

1. GCSP-Specific Questions

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
The services offered by GCSP are dynamic, appropriate and competitive (EQ1.6.1)						
The training methods provided by GCSP meet the needs of today's civilian and military clientele (EQ1.6.2)						
In the past 3 years, the GCSP has extended its' programmatic courses and potential client groups (EQ2.6.1)						

2. GICHD-Specific Questions

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
GICHD has strong partnerships with similar humanitarian organisations (EQ2.3.1)						
GICHD should expand its work in SSR, DDR and other areas of peacebuilding (EQ1.7.3)						
Hosting the Implementation Support Units (ISUs) is functional (EQ2.7.3)						
GICHD's Contributions made to International Mine Action Strategies are effective (EQ1.7.4)						

3. DCAF-Specific Questions

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
DCAF has increased its collaboration with other actors in SSR in terms of the products and services it provides (EQ2.8.1)						
DCAF has increased its' support towards police and justice-related activities in terms of the products and services it provides (EQ2.8.2)						
DCAF implements a holistic approach to SSR/G (EQ2.8.6)						
DCAF is positively contributing to the SDGs related to peace and conflict prevention in terms of the services and products it provides (2.8.7)						
Organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives (3.4.1)						

2. French translation of staff survey

Introduction

Cette étude est menée dans le cadre de l'évaluation externe des Centres de Genève, mandatée par le Parlement Suisse et conduite par le Groupe Universalis, une firme de consultation canadienne.

Dans le cadre de la collecte de données de cette évaluation, l'équipe d'évaluation étudie les perspectives des équipes de chacun des Centres. Grâce à votre participation, l'équipe d'évaluation obtiendra une meilleure compréhension de la façon dont le Centre est perçu par ses équipes. Cette étude est divisée en plusieurs sections traitant des critères suivants : pertinence, efficacité, efficience et viabilité, concernant la gouvernance et les structures de gestion des Centres, leurs résultats, le suivi-évaluation de ces résultats, leur champ thématique, leurs activités et les synergies avec les autres Centres présents dans la Maison de la Paix.

Nous vous encourageons à compléter l'étude suivante afin d'inclure vos perspectives dans l'analyse de l'évaluation. Compléter ce sondage et le questionnaire d'évaluation ne devrait pas vous prendre plus de 30 minutes.

Nous vous garantissons que les informations seront traitées en toute confidentialité.

Nous vous prions de compléter cette étude en ligne avant sa clôture vendredi 26 Janvier 2018.

Merci pour votre participation.

Merci de sélectionner votre organisation :

- DCAF
- GCSP
- GICHD

Merci de sélectionner la catégorie qui correspond le plus à votre emploi actuel

- Opérations
- Recherche / Stratégie
- Administration
- Autre [merci de préciser] _____

Quelle est votre genre?

- Homme
- Femme
- Ne souhaite pas s'exprimer

Section 1: services fournis par le Centre

1. Merci de sélectionner la réponse qui selon vous représente le mieux le Centre au sien duquel vous travaillez, selon les affirmations suivantes :

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
1.1. Mon travail répond aux besoins des parties prenantes avec lesquelles je travaille (Évaluation Question (EQ) 1.1.2)						
1.2 Le Centre a activement promu ses activités parmi les partenaires ces 3 dernières années (EQ1.4.1)						
1.3 Le champ des activités est adaptée aux besoins exprimés par les partenaires (EQ1.7.1)						
1.4 Les partenaires nous ont demandé des services que nous ne pouvions fournir (EQ1.7.1)						
1.5 De votre perspective, les services que le Centre fournit sont adaptés aux contextes d'États fragiles (EQ1.1.5)						
1.6 Le genre et la diversité sont pris en compte lors des formations, des opérations et des activités du Centre (EQ1.5)						

1.7 Avez-vous d'autres commentaires concernant la pertinence des services du Centre ?

Section 2: Synergies among the Centres and with the Swiss Confederation

2.1 Le déménagement à la Maison de la Paix a-t-il permis le développement de synergies avec l'un ou l'autre des Centres (e.g. publications conjointes, formations, ateliers, partages d'enseignements tirés, etc.) ? Si oui, pourquoi ? (EQ1.4)

- Je ne collabore pas avec les autres Centres dans le cadre de mon travail [skip question 2.2, go straight to 3.1]
- Je ne travaillais pas avec le Centre avant le déménagement, je ne peux donc pas répondre [skip question 2.2, go straight to 3.1]

2.2 Le déménagement à la Maison de la Paix a-t-il impacté votre travail positivement ou négativement d'une autre façon ? (EQ1.4)

- Je ne collabore pas avec les autres Centres dans le cadre de mon travail
- Je ne travaillais pas avec le Centre avant le déménagement, je ne peux donc pas répondre

Section 3: Gestion et gouvernance

3. Merci de sélectionner la réponse qui reflète le mieux votre opinion vis-à-vis de l'efficacité de la gestion et des structures de gouvernance du Centre : (EQ 2.1, 2.3 and 2.4)

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
3.1 Je suis satisfait.e des structures de gouvernance du Centre (e.g. le Conseil de Fondation et son Bureau, le Conseil consultatif) (EQ2.3.2)						
3.2 Je suis satisfait.e des structures de gestion du Centre (EQ2.3.2)						
3.3 Les objectifs stratégiques et les raisons de leur mise en œuvre sont communiqués clairement et efficacement par les équipes de direction (EQ2.3)						
3.4 La direction stratégique du Centre est claire selon moi (EQ2.3)						
3.5 Il existe des lignes directrices et des stratégies me permettant de travailler efficacement (EQ2.3)						
3.6 Le travail est organisé de façon à ce que chacun.e puisse voir la relation entre ses tâches et les objectifs stratégiques pour lesquels il/elle travaille (EQ2.3)						
3.7 L'autorité est déléguée adéquatement de façon à ce que chacun.e fasse le travail pour lequel il/elle est responsable (EQ2.3)						
3.8 Les enseignements tirés sont régulièrement incorporés dans mon travail (EQ4.4.2)						
3.9 Les problèmes apparaissent parce-que les ressources nécessaires pour le travail manquent (EQ3.3.2)						
3.10 Je suis satisfait.e de la gestion financière du Centre (EQ1.3)						

3.12 Souhaitez-vous ajouter un ou des éléments concernant votre vision de la gestion et de la gouvernance du Centre ?

Section 4: Resultats

4. Dans quelle mesure êtes-vous d'accord avec les affirmations suivantes concernant l'efficacité des activités du Centre ? (EQ2.5 and 2.7)

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
4.1 Les objectifs stratégiques (comme définis par le cadre de résultats institutionnels ; ou plus concrètement, les résultats immédiats et intermédiaires) du Centre sont atteignables et réalistes (EQ2.5.1)						
4.2 Les produits et les services fournis par le Centre sont de haut-niveau (EQ 2.5)						
4.3 Le Centre est sur la bonne voie pour remplir les objectifs stratégiques exposés dans son plan stratégique (EQ2.6)						

4.4 Quels facteurs soutiennent la capacité du Centre à atteindre des résultats ? (Jusqu'à 3) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.5 Quels facteurs limitent la capacité du Centre à atteindre des résultats ? (Jusqu'à 3) (EQ2.1, 2.2, 2.3, 2.4 and 2.5)

4.6 Savez-vous si vos résultats seront utilisés/appliqués une fois votre mission au sein du Centre achevée? Rassemblez-vous des évidences pour mesurer la pérennité de votre travail ? (EQ2.5)

4.7 Existe-t-il un système de suivi des résultats ? Fonctionne-t-il? (EQ2.2)

Section 5: Efficience

5. Dans quelle mesure êtes-vous d'accord avec les affirmations suivantes concernant l'efficience globale du Centre ?

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
5.1 Les résultats des projets sur lesquels je travaille ont été atteints à temps (EQ3.2)						
5.2 Les résultats dont je suis responsable n'auraient pas pu être atteints avec des ressources financières moindres (EQ3.2)						
5.3 Certains dédoublements de rôles ou de fonctions surviennent au sein des équipes du Centre (EQ3.2)						
5.4 La proportion d'experts internes (équipes permanentes) et d'experts externes (équipes mandatées temporairement) est adaptée aux résultats pour lesquelles nous travaillons (3.3.1)						
5.5 Les profils d'experts sont adaptés aux besoins du Centre (3.3.2)						
5.6 Les stratégies internes et les directives générales sont facilement accessibles (EQ3.2)						
5.7 L'information partagée sur les stratégies internes est transparente (EQ3.2)						

[Section 6. Insert tailored questions here for each centre – see section with tailored questions below]

Section 7. Commentaires finaux

1. Quelles sont les forces du Centre ?

2. Quelles sont les faiblesses du Centre ?

3. Quelles opportunités percevez-vous dans l'environnement opérationnel du Centre ?

4. Quelles menaces percevez-vous dans l'environnement opérationnel du Centre ?

5. Souhaitez-vous faire d'autres commentaires à prendre en compte par l'équipe d'évaluation ? (jusqu'à 75 mots)

Questions spécifiques (section 6)

1. GCSP-Questions spécifiques

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
Les services offerts par le GCSP sont dynamiques, adaptés et compétitifs (EQ1.6.1)						
Les méthodes de formation fournies par le GCSP sont adaptées aux besoins actuels de la clientèle civile comme militaire (EQ1.6.2)						
Ces 3 dernières années, le GCSP a étendu sa programmation de cours et ses groupes de potentiels clients (EQ2.6.1)						

2. GICHD- Questions spécifiques

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
GICHD a d'importants partenariats avec des organisations humanitaires similaires (EQ2.3.1)						
GICHD devrait étendre son travail en SSR, DDR et dans d'autres secteurs de construction de la paix (EQ1.7.3)						

Héberger les Unités de Support Opérationnel est efficace (EQ2.7.3)						
Les contributions du GICHD faites lors des Stratégies de Lutte antimine sont efficaces (EQ1.7.4)						

3. DCAF- Questions spécifiques

	PAS DU TOUT D'ACCORD	EN DÉSACCORD	NI D'ACCORD NI EN DÉSACCORD	D'ACCORD	TOUT À FAIT D'ACCORD	NE SAIT PAS
DCAF a renforcé sa collaboration avec d'autres acteurs en SSR en termes de produits et de services fournis (EQ2.8.1)						
DCAF a renforcé son soutien aux activités de police et de justice en termes de produits et de services fournis (EQ2.8.2)						
DCAF met en œuvre une approche holistique en SSR/G (EQ2.8.6)						
DCAF contribue positivement aux ODD reliés à la paix et à la prévention des conflits en termes de produits et de services fournis (2.8.7)						
Ces 3 dernières années, les changements organisationnels ont contribué à atteindre plus efficacement et plus effectivement les objectifs (3.4.1)						

3. External stakeholder survey template

Introduction

This survey supports the external evaluation of the Geneva Centres, which is mandated by the Swiss Parliament and is being conducted by Universal Management Group, a Canadian consulting firm.

As part of the data collection process for the evaluation, the evaluation team is seeking perspectives from GICHD's partners and stakeholders.

We encourage you to complete the following survey so that we can include your perspectives in the evaluation's analysis. Your participation will help the evaluation team gain a better understanding of how GICHD is perceived by its partners. This survey is split into sections covering relevance, effectiveness, efficiency and sustainability.

The survey should take no longer than 10 minutes to complete.

Please be assured that all information gathered will be treated confidentially.

We kindly ask that you complete this survey online before close of business on 26 January 2018.

Thank you for your time.

Section 1. Background information

1. Which organisation do you work the most with?

- DCAF
- GCSP
- GICHD

2. What type of stakeholder group do you fall into?

- Donor
- Implementing Partner
- Government Partner
- UN agency
- Other, please specify _____

3. What is your gender?

- Male
- Female
- Prefer not to say

Section 2. Relevance

4. In the table below, please select the answer that best reflects your perception of the following statements:

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
The services the Centre provides respond to my needs (EQ1.1.2)						
The Centre does not duplicate the work of other organisations (EQ1.3)						
The Centre's work is aligned with the current trends in the field (EQ1.3)						
The Centre is a leader in its field (EQ1.3)						
The Centre has a clearly defined profile (EQ1.3)						
The Centre is equipped to work in fragile states (EQ1.1.5)						
The Centre's work takes gender considerations into account (EQ1.5)						

5. Are there any gaps in the scope or geographic coverage of the Centre's work? (EQ1.1.4)

No
Yes, they are _____

Section 3. Effectiveness

6. To what extent do you agree with the following statements regarding the effectiveness of GICHD? (EQ1.3 and 2)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
The Centre is effective in providing its services (EQ2.1,2.5)						
The Centre coordinates well with my organisation (EQ2.1)						
The Centre's strategic direction is clear to me (EQ2.3)						

7. What are the Centre's strengths?

8. What are the Centre's weaknesses?

Section 4. Efficiency

9. To what extent do you agree with the following statements on the efficiency of GICHD overall?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
It is clear to me who I should be in contact with at the Centre about matters relating to our work together (EQ3.2)						
Some duplication of roles and functions occurs among staff at the Centre (EQ3.2)						
The profiles of the Centre's core experts are well suited to the work it does (EQ3.3)						

Section 5. Sustainability

10. Do you have any examples from your collaboration with the Centre where an intervention has led to lasting change? (4 overall) (EQ4.1)

11. What were the factors that supported this sustainability? (4 overall) (EQ4.1)

Section 6. Final comments

12. Are there any additional comments you wish to make for consideration by the evaluation team? (up to 75 words)

Thank you for your time.

4. French translation of external stakeholder survey

Introduction

Cette étude est menée dans le cadre de l'évaluation externe des Centres de Genève, mandatée par le Parlement Suisse et conduite par le Groupe Universalis, une firme de consultation canadienne.

Dans le cadre de la collecte de données de cette évaluation, l'équipe d'évaluation étudie les perspectives des différents partenaires et parties prenantes de chacun des Centres.

Nous vous encourageons à compléter l'étude suivante afin d'inclure vos perspectives dans l'analyse de l'évaluation. Grâce à votre participation, l'équipe d'évaluation obtiendra une meilleure compréhension de la façon dont le Centre est perçu par ses partenaires. Cette étude est divisée en plusieurs sections traitant des critères suivants : pertinence, efficacité, efficience et viabilité.

Compléter cette étude ne devrait pas vous prendre plus de 15 minutes.

Nous vous garantissons que les informations seront traitées en toute confidentialité.

Nous vous prions de compléter cette étude en ligne avant sa clôture le vendredi 26 Janvier.

Merci pour votre participation.

Section 1. Informations générales

1. Avec quelle organisation travaillez-vous le plus ?

- DCAF
- GCSP
- GICHD

2. De quelle catégorie d'acteurs faites-vous partie ?

- Donateur
- Partenaire opérationnel
- Partenaire gouvernemental Agence des Nations Unies
- Autre, précisez s'il-vous-plaît :

3. Quel est votre genre?

- Homme
- Femme
- Ne souhaite pas s'exprimer

Section 2. Pertinence

4. Dans le tableau ci-dessous, veuillez sélectionner la réponse qui reflète le plus votre perception vis-à-vis des affirmations suivantes :

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
Les services fournis par le Centre répondent à des besoins (EQ1.1.2)						
Le Centre ne duplique pas le travail d'autres organisations (EQ1.3)						
Le travail du Centre s'aligne sur les tendances actuelles du domaine (EQ1.3)						
Le Centre est leader dans le domaine (EQ1.3)						
Le Centre a un profil clairement défini (EQ1.3)						
Le Centre est équipé pour travailler dans les États fragiles (EQ1.1.5)						
Le Centre prend en compte les considérations liées au genre (EQ1.5)						

5. Existe-t-il des lacunes concernant la portée ou la couverture géographique du travail du Centre ? (EQ1.1.4)

Non
Oui, les suivantes _____

Section 3. Efficacité

6. Dans quelle mesure êtes-vous d'accord avec les affirmations suivantes concernant l'efficacité du Centre? (EQ1.3 and 2)

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
Le Centre est efficace dans l'offre de services (EQ2.1,2.5)						
Le Centre effectue une bonne coordination avec mon organisation (EQ2.1)						
La stratégie de direction du Centre est claire selon moi (EQ2.3)						

7. Quelles sont les forces du Centre ?

8. Quelles sont les faiblesses du Centre ?

Section 4. Efficience

9. Dans quelle mesure, êtes-vous d'accord avec les affirmations suivantes concernant l'efficience globale du Centre ?

	STRONGLY DISAGREE	DISAGREE	NEITHER AGREE NOR DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
La personne à contacter au Centre concernant notre relation de travail est clairement désignée selon moi (EQ3.2)						
Au sein des équipes du Centre, certains rôles et certaines fonctions sont parfois dédoublés (EQ3.2)						
Les profils d'experts du Centre correspondent au travail que celui-ci effectue (EQ3.3)						

Section 5. Viabilité

10. Avez-vous un exemple d'une de vos collaborations avec le Centre pour laquelle l'intervention a conduit à un changement durable ? (4 au total) (EQ4.1)

11. Quels facteurs ont permis cette viabilité, cette pérennité ? (4 au total) (EQ4.1)

Section 6. Commentaires finaux

12. Souhaitez-vous ajouter d'autres commentaires à prendre en considération par l'équipe d'évaluation ? (jusqu'à 75 mots)

Appendix IX Surveys Analysis

1. GICHD

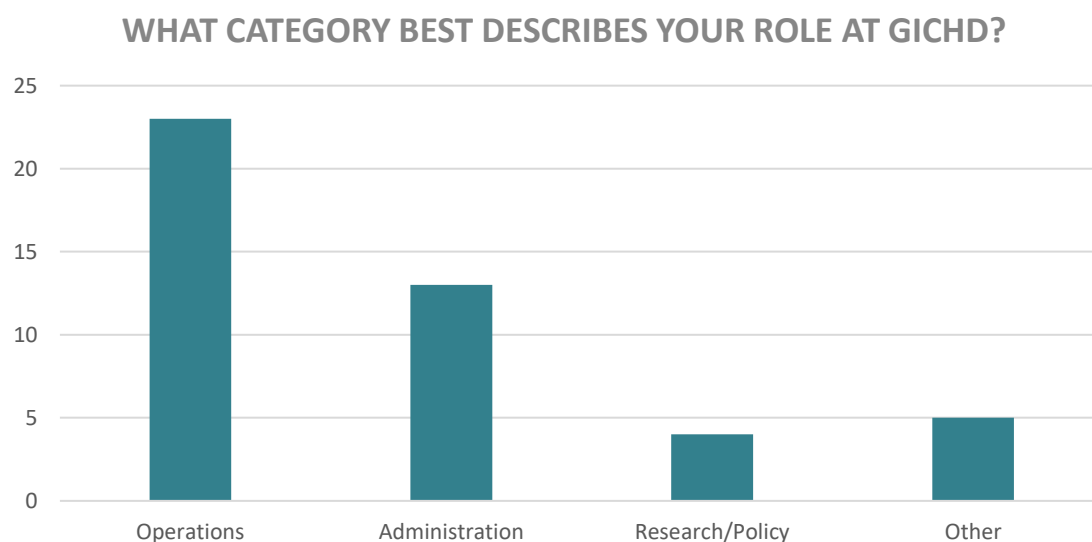
1.1 Internal Staff Survey Analysis

General

Number of respondents: 45 GICHD staff members participated in the survey

Response rate: 76%

Gender: 36% male: 62% female, 2% prefer not to say



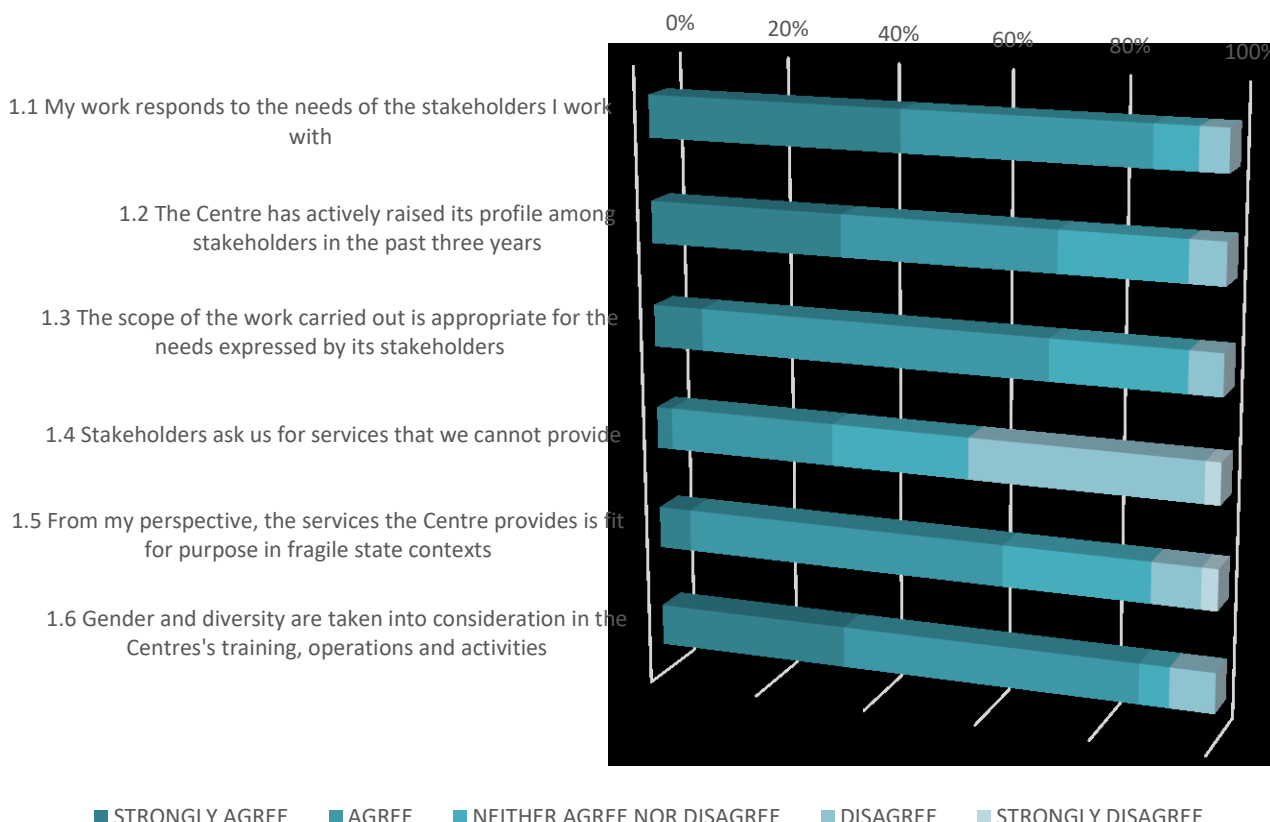
Other = communications, information management, directorate

Relevance

- Staff is positive about the relevance of the Centre's services.
- Staff agree that the needs of stakeholders are met appropriately, although one third of staff said that stakeholders have asked them for services that they cannot provide.
- The results are particularly positive for the integration of gender and diversity considerations in the Centre's training, operations and activities, on which 53% agree and 34% strongly agree.
- 57% of staff agree that the Centre is fit to work in fragile contexts.

Additional comments (summarised)

HOW RELEVANT ARE THE SERVICES PROVIDED BY GICHD?



- The Centre is not fully equipped to deal with contexts such as fragile states/conflict areas. Even though we provide support in some cases, remotely or onsite it is difficult to provide a wide range of services, and that might be linked also the fact that Mine Action historically tends to come in post conflict/stabilisation efforts have taken place. But that notion of MA is changing and might require further adjustment depending also on next strategy phase.
- It can be challenging to find the good balance between being needs-based and thereby being relevant to our beneficiaries and keeping in mind donor interests for funding. Needs assessments are also problematic as they are not very targeted or approached strategically and some felt that the project approval process should have greater scrutiny to ensure that every project approved is relevant both to stakeholder needs and the Centres' strategy.
- Areas where the Centre could expand its scope: battle area clearance, IEDD, ammunition management, future technologies, non-state actor groups as beneficiaries
- GICHD's Communication Strategy should be reconsidered to report more on the activities we conduct in the field rather than being exclusively targeted at a Swiss audience.

La Maison de la Paix and synergies with the other Centres

- 11 out of 18 respondents able to answer this question agreed that the move to the Maison de la Paix has allowed for more synergies between the centres.
- This was explained as being due to:
 - Proximity/accessibility facilitates networking with other organisations in the MdP
 - Swiss strategic priorities of particularly peace and security and the initial encouragement by Switzerland to increase cooperation.
 - There is a sense in many comments that cooperation has not yet reached its full potential but that there are limits to cooperation because of the differences in mandates, etc.
 - Ways in which the Centres work together: Exchange of best practices for documentation Management (SharePoint), Workshops, publications, advisory, conferences, sharing lessons learned, creation of common Maison de la Paix event "Bâtisseurs de Paix"
- When asked if there was any other way in which the move to the Maison de la Paix had impacted their work, positive responses included:
 - Good facility, inspiring building complex, space for meetings, and events
 - Advantageous location – close to other actors in International Geneva and good for commuting.
- Negative aspects include:
 - Less internal cooperation in DCAF as staff is split between three floors, not enough common space
 - As a claustrophobe, the absence of windows that we can open/lack of fresh air is a problem at a personal level (in comparison to WMO again).
 - While designing the building, Gender and Diversity was not fully taken into account. There is no breastfeeding space, or a prayer space for colleagues who wish to do so not to mention disability and access to elevator which blocks in case of fire. No touch button to open doors for wheelchair. Heavy doors between floors and access to rest rooms.
- Recommendations for additional ways of cooperating included:
 - The directors of 3 Centres should be brought together regularly with expectation to collaborate and commence joint activities - there are several lines of work which would benefit. For instance, security sector reform work (DCAF), ammunition stockpile assessments (GICHD) and legal training on weapon systems and treaties (GCSP). Another example could be bringing the HRM, finances and administration under one roof (as is the case with IT support already).

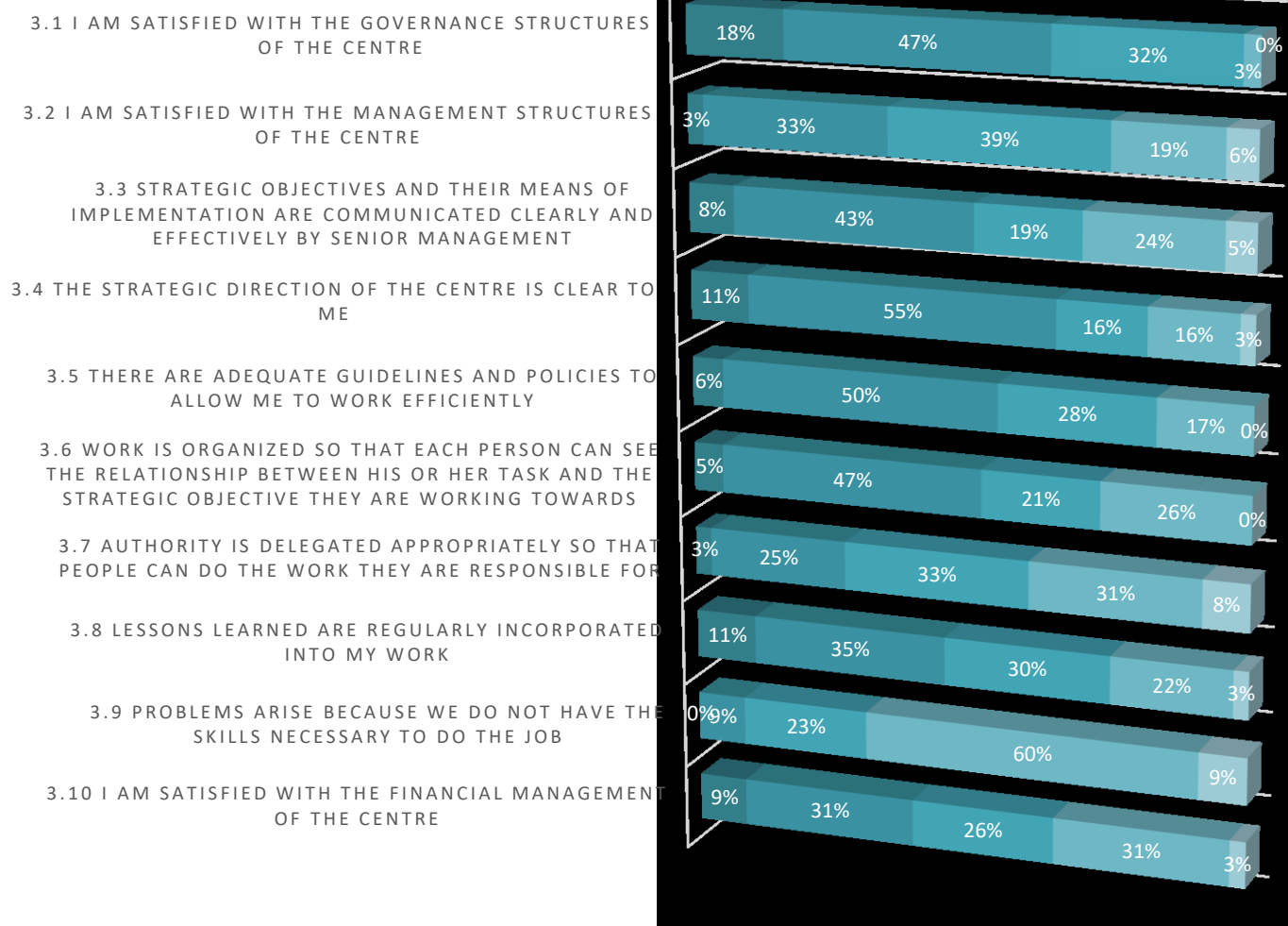
Management and governance effectiveness

- There is a generally mixed level of satisfaction with the management and governance of the centre overall.
- However, 39% of participants said that they “neither agree nor disagree” with the statement “I am satisfied with the management structures of the Centre” and responses to the statement on the appropriate delegation of authority were mixed, with 25% agreeing, 33% neither agreeing nor disagreeing and 31% disagreeing.
- 50% agreed that there were adequate guidelines and policies to allow work to be done efficiently

- While the strategic direction of the Centre is clear to 55% of the respondents, there appears to be a lack of clarity across the organisation on how roles relate to strategic objectives, with 21% unsure and 26% disagreeing with the statement that “Work is organised so that each person can see the relationship between his or her task and the strategic objective they are working

HOW EFFECTIVE IS THE MANAGEMENT AND GOVERNANCE OF GICHD?

■ STRONGLY AGREE ■ AGREE ■ NIETHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE



towards”.

Additional comments

- The governance of the Centre is well structured, but the intensity at which members of the governance participate in debates varies greatly.
- Administration is never reflected in GICHD strategies, so we do feel neglected from time to time even is a good administration is the foundation of a solid organisation
- Management structures are sometimes unclear: Decisions take a long time to be taken by the Management Board. The decisions taken are often communicated at a very late stage and not transparently. Criticism about one particular decision of the MB by lower level staff was not well

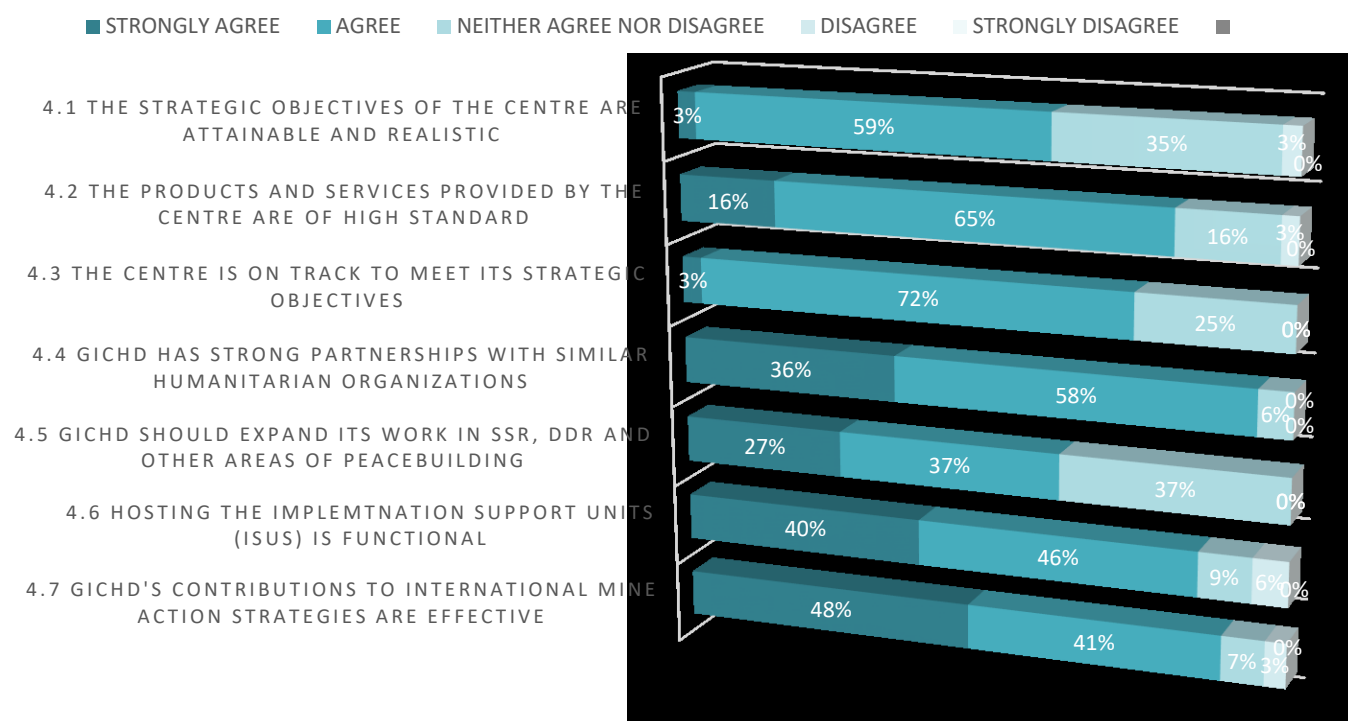
received and the request to re-evaluate the decision was rejected based on from whom the criticism came (it seemed) and not what the topic was about. In addition, the GICHD is not a learning organisation in the way that lessons learned from projects are not systematically collected and then fed into the development of new projects. Further, more emphasis could be place on staff professional development with trainings.

- Clashing level of authority between project managers, programme officers and donor coordinators. Project managers have authority over their projects (in terms of finance, implementation, etc.). However, in reality some decisions (particularly in the area of financial management) are in effect taken by donor coordinators / programme officers

Effectiveness

- Overall positive staff response to questions relating to the effectiveness of GICHD

HOW EFFECTIVE IS GICHD?



Factors that support GICHD's ability to achieve results

Internal factors that support GICHD

- Skills and diversity of staff and experts
- Clear theory of change, strategy and well-defined indicators
- Neutrality and "Swissness"
- Staff commitment and flexibility
- Strong reputation
- Location in Geneva

- Core Swiss funding

Internal factors that limit GICHD

- Inadequate or unclear management structures
- No field or regional presence
- RBM still needs time to be taken up internally
- Spread too thin despite large footprint – limited human resources
- Lack of practical experience in demining amongst key staff
- Staff turnover
- Coordination between divisions needs to be improved
- Management decisions take too long
- Need better internal communication

External factors that support and limit GICHD

- The political, social and economic circumstances and stability in the countries in which GICHD is working
- Responsiveness of national authorities in the countries in which GICHD is working and their openness to being influenced
- The variable degrees of ownership and engagement from national authorities
- The nature of partnerships with other organisations, e.g. Strong partnerships with clear goals vs shifting partner priorities
- Demand for GICHD services
- The difficulties in measuring some types of results, such as behavioural change.

Monitoring

4.7 Is there a system in place to monitor results? How well is this working?

- The RBM system is in place but it is not working as well as it should. It needs to be simpler, more realistic requests for advisors to report.
- It is hard to monitor the results of our work as change occurs over time.
- For certain projects, there is (e.g. strategic planning monitoring framework) and it's working really well. For spearhead projects, there is a monitoring framework, which is working as well. However, there is not a centre-wide results monitoring system in place.
- Yes, for instance participants are asked to create a work plan following a training. The follow-up of these work plan is quite weak however.
- RBM is more of a paperwork exercise than linked to an analysis of impact
- Yes, we've got a strong analytical system in place
- Results are not systematically monitored; I am not sure where the results that are collected are stored.
- There is a willingness to implement/create a system but this has yet to be fine-tuned

- Yes, but it seems too complex and heavy to really work. It is rather perceived as a burden.
- Staff appraisal sets out clear individual goals and allows to measure the results
- Yes, an RBM system. It works better in some divisions due to the nature of their work
- System is in place to monitor financial results and project developments, not used systematically

Sustainability

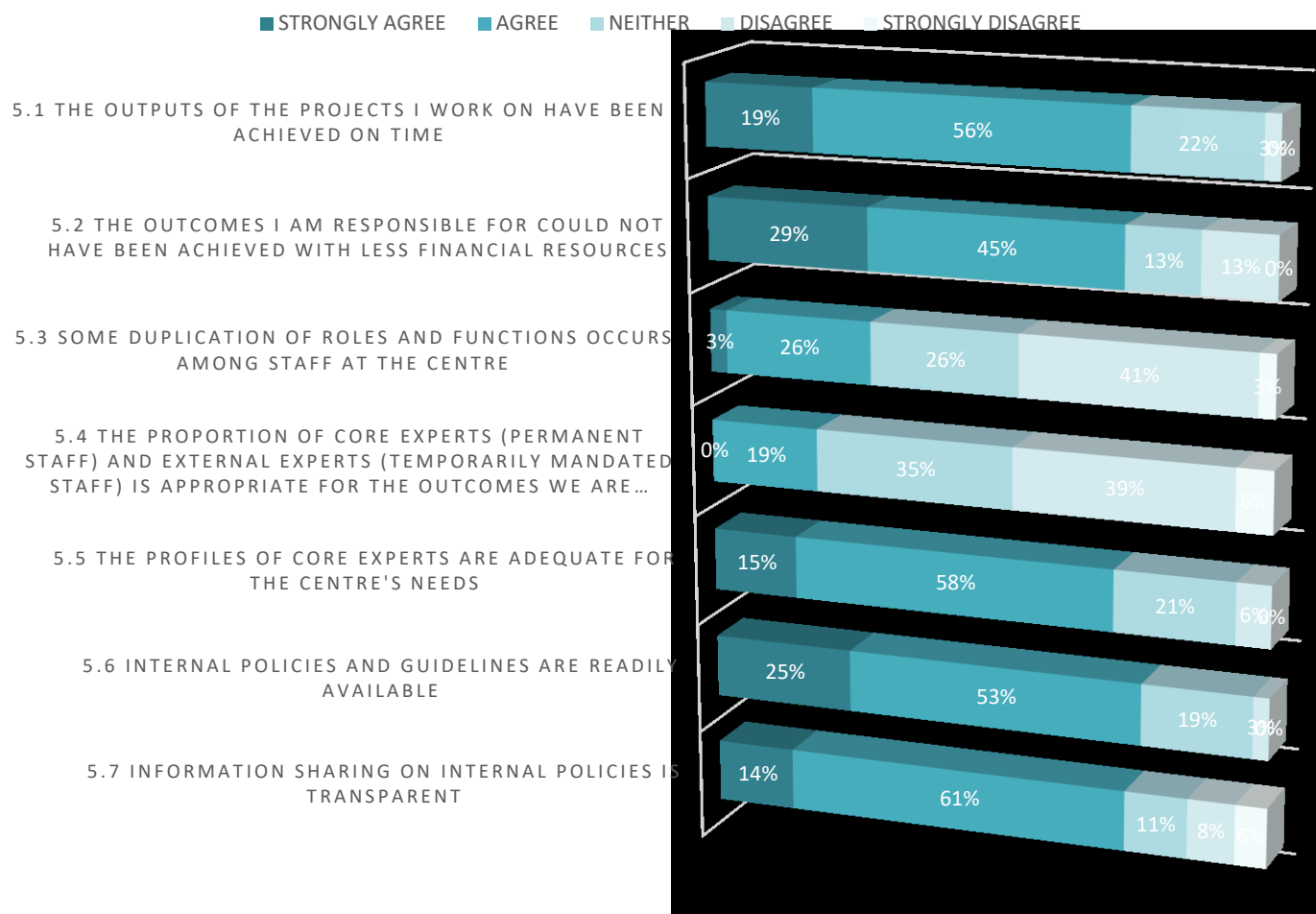
4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work?

- We do needs assessment and evaluations after activities, also monitor and evaluate what we do, by gathering where possible indicators and in some cases impressions/observation from national authorities
- We have worked on ensuring that there is a systematic follow-up to our work, with a view to trying and measuring its short and medium-term impact, and will continue to do so. Given that our work is essentially “upstream”, we are also interested in evaluating, at least qualitatively, to which extent it is having a positive impact on our ultimate beneficiaries – individuals and communities.
- Rarely do we measure the sustainability of my work. In strategic planning, we do regularly, which is very useful.
- No certainty, it is likely because we seek to base our interventions on national ownership
- Project dependant - for established projects data is collected via matrices designed to assess implementation of activities. For new/pilot projects this often depends on the results/uptake in the focus country.

Efficiency

- Staff are generally positive about the efficiency of GICHD
- Core experts’ profiles are adequate for the Centres needs (58% agree and 15% strongly agree) but there is some uncertainty about the proportion of core experts and external experts: 39% disagree that the proportion is appropriate. There is also potentially issues with the duplication of roles and functions, with 26% agreeing that there is duplication.
- A majority (56% agree and 19% strongly agree) that the outputs of the projects they work on have been achieved on time and that outcomes could not have been achieved with less financial resources (29% strongly agree and 45% agree)
- Access to information and the availability of policies and guidelines were generally found to be satisfactory

EFFICIENCY



SWOT questions in the survey

Strengths

- Knowledge and expertise of staff
- Neutrality, impartiality
- Unique centre of excellence in Mine Action – there is limited competition, they have strategic clarity and are cutting edge, guardian of mine action standards, convening role
- Location in Geneva
- Sizable multi-year core funding
- Special political status
- Neutrality, unique centre of excellence in Mine Action, mandate different than most stakeholders involved in Mine action, a Geneva based centre
- Flexibility
- Swiss core funding

- Clear objectives
- Strong partnerships and trust of donors and partners
- Balance between concrete operational work and research/innovation
- Unique neutral position, ability to work with different stakeholders, international staff

Weaknesses

- Management structure and management capacities
- No regional/field presence – too far away from the reality of the programmes, difficult to have sustainable impact
- Being overstretched – need to balance priorities with capacity
- need to work further on gender & diversity within the Centre;
- need to work further on the right balance between individual and institutional approaches
- Heavy administrative processes – “bureaucracy overload”
- Turn over of staff
- Too associated with Switzerland
- Internal communication and cooperation
- No control over our partners (country MA authorities) decision making process
- External communication: The name makes it difficult promote other areas of expertise (misconception that all we do is demining); unclear key messaging support to staff
- Turnover of staff

Opportunities

- Ever changing environment/new conflicts unfortunately that hinders peace and security, but we could adapt to those in the future in order to be able to continue being relevant. The worsening of operational environment (more conflicts, more casualties) requires mine action sector to change its traditional way to operate.
- The Centre has the possibility to adapt its fundamental narrative, to consolidate its work on areas other than mine action, such as ammunition management, EOD work to take advantage of its role and expertise in the area of standards, to take advantage of its role as neutral, impartial and independent player, to take advantage of its previous experiences with regard to working with the private sector. Apply MA expertise/IMAS to other security sectors
- increased awareness and understanding of need for explosive risk management in context of human security/development
- Partnerships with other organisations e.g. across different sectors ever more important; mine action links to so many other topics (see SDGs) where we need to explore and deepen ties further.
- Make use of our unique position in the sector, create linkages and connections, share lessons learnt and best practices. Learn the lessons from our projects and have them feed into the development of new ones and improvement of existing ones. Create an open feedback mechanism for staff to management.

- Ammunition and explosive management, SSR and DDR. Focus of mine action sector turning from mines to all things that go bang - ammunition stockpiles, IEDs, state use of explosive weapons, proliferation of illicit weapons and ammunition. New contamination by mines and ERW

Threats

- Lack of funding to expand or maintain our support – donors are not very diverse
- Context - IED context, contraction of humanitarian space, ongoing and new conflicts, corrupt governments
- Mine action needs to be ever more part of a broader agenda to remain on the political radar screen, which in turn is key to sustain interest and support from donors. The continuous support of Switzerland remains key to the future of the Centre. The Centre will also need to increase its ability to work closer to conflict / in situation of fragility.
- Narrow focus on meeting APMBC's commitments by 2025 at the expense of sustainability
- Competition with other organisations that are increasingly claiming and working in the field of capacity building - GICHD might not always sufficiently reach out to humanitarian and development actors; there is a risk that GICHD might be overtaken by the speed of technical developments
- Over-extending the thematic areas without sufficient subject-matter personnel, lack of human resources
- Staff turnover due to weak support, frustration with over bureaucracy
- Being too slow and getting too comfortable in Geneva and New York bubbles - reality check!

Additional comments

- We are well positioned in Mine action to slowly but surely bring change and adapt to new situations. The agenda such as 2030 and the next strategy phase will be very important to our centre and it will define the direction we want to take. Thank you.
- The Centre could be useful to other sectors in the area of human security, however, there is a danger that the quality and expertise within the core sector of mine action may be compromised.
- the management structure must be reviewed; director has not enough operational knowledge, does not exchange enough with operations' people to "feel pulse", needs on the ground. Policies and nice words won't get the job done.
- I see the centre as being the 'go to' organisation for all involved with ammunition and explosives. To do this the centre needs to expand its activities. The centre must be able to attract and retain the best staff or it will lose credibility. The only way to do this is with a good salary and benefits scheme; currently the centre is falling behind other operators in this area.
- I have covered mostly the negative points in previous comments (because I think that they are the most useful). there are also a great many positive points about working here which are not covered as well.

1.2 External Stakeholder Survey Analysis

General information

- The GICHD External Stakeholder Survey was sent to 116 people.
- Response rate was 39%
- 80% of respondents were male, 20% were female



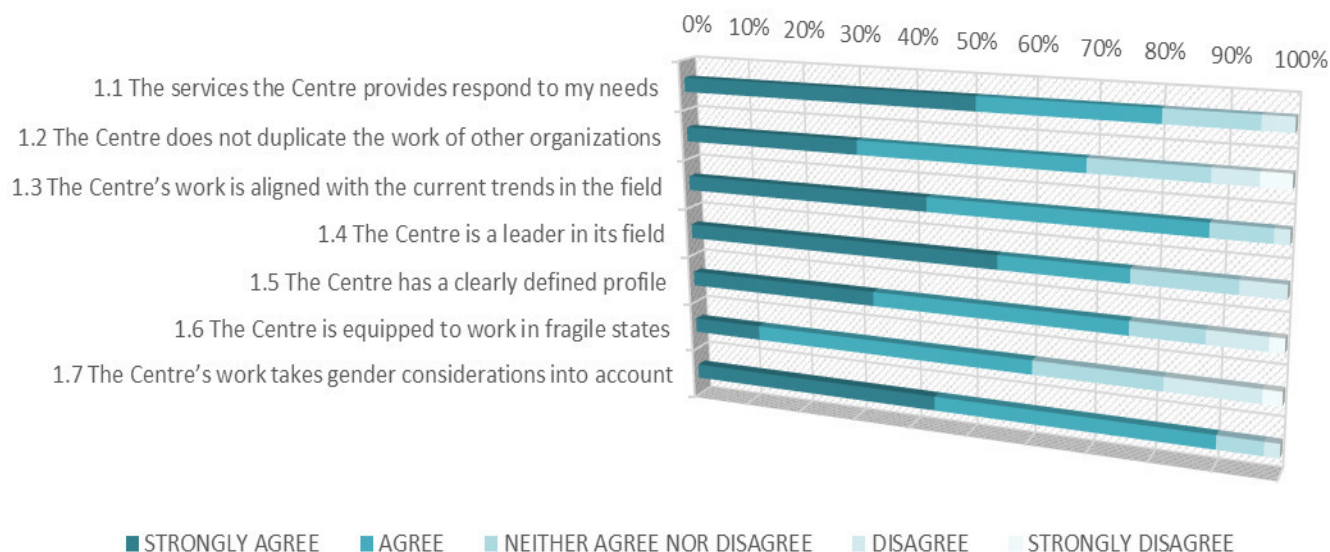
“Other” included NGO peers and partners (6), ISU (1), Review Board members (2), and independent consultants and organisations (3).

Relevance

- Stakeholders were positive about the continuing relevance of GICHD.
- There were particularly positive about the Centre’s work to integrate gender considerations and the alignment of its work with current trends in the field.
- Respondents were less convinced that the Centre was equipped to work in fragile states.
- A majority did not believe that there were any gaps in the scope of GICHD’s work. 7 respondents suggested that the Centre could include:
 - Challenges working in conflict areas due to requirements to work only with governments.
 - Missing out of being an enabler for provision of advisory services on how to better spend scarce funding in terms of equipment, methodology, organisation and management on a national level.
 - African states do not feel represented proportionately in work plans and/or profile
 - Funding limits in working in all mine affected countries, so coverage is sometimes limited based on financing and requests

- They try to duplicate the role of the UN, they work outside their mandate, they are not accountable for the decisions made.

HOW RELEVANT IS GICHD FROM THE POINT OF VIEW OF STAKEHOLDERS?



Effectiveness

- Stakeholders were positive about the Centre's effectiveness, agreeing that it has a clear strategic direction (34% strongly agree, 41% agree) and that the Centre coordinated well with its partners (46% strongly agree, 41% agree)

HOW EFFECTIVE IS GICHD FROM A STAKEHOLDER'S PERSPECTIVE?



What are GICHD's strengths?

- **Staff & Human Resources:** technical expertise, diplomatic skills, openness, transparency, easy access, experience, diversity, commitment
- **Communication:** publications; trainings; information management; update of documents

- **Image and reputation:** Leader in the mine action community, in research and innovation; Swissness; independent and impartial; gender and diversity strongly considered; network; unique policy
- **Work in the field:** set the standards, coordination with partners and stakeholders; planning and implementation; effectiveness and efficiency to solve problems; good understanding of the context and analysis of current trend; responsiveness
- **Budget:** Swissness

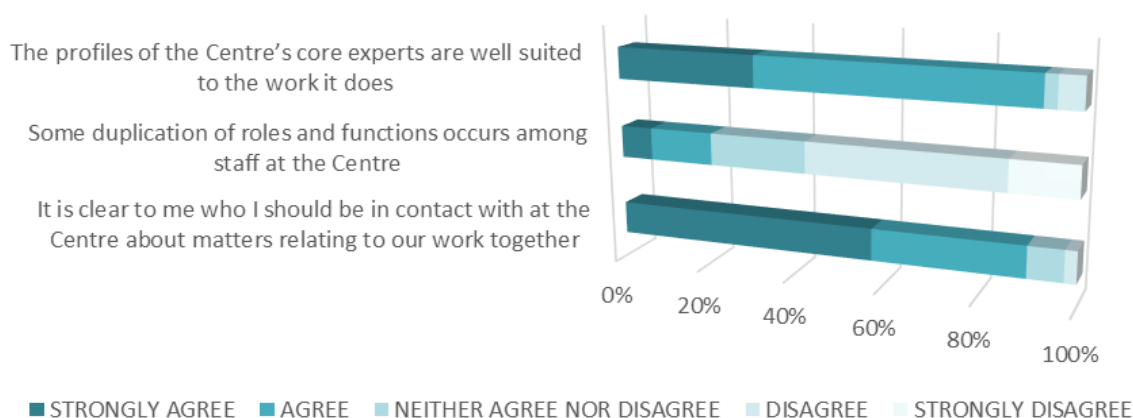
What are the Centre's weaknesses?

- **Staff & Human Resources:** emphasis is too much on education degrees and not enough on field experience; variance in the ability of staff; high turnover
- **Communication:** lack of information provided; lack of trainings
- **Image and reputation:** lack of clarity over the Centre's role in small arms and munitions
- **Work in the field:** coordination and planning with partners and other organisations (tendency to duplicate work done by others); insufficient time/resources allocated to projects; lack of activities in the field and of in-country presence (in-country based permanent support would be an asset)
- **Budget:** lack of funding in the field; narrow funding base

Efficiency

- Positive results on efficiency – there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at the Centre to collaborate.

EFFICIENCY



Sustainability

Do you have any examples from your collaboration with the Centre where an intervention has lead to lasting change?

- Support to the establishment of National Standards and the formulation of National Strategies
- GICHD carried out an Evaluation of X Mine Action programme in 2016-2017

- Support to have IMSMA data base; Collaboration in the field of IMAS and QMS, to develop NMAS and NTSG; Support to francophone and Arabic programmes; publication translation
- Technical expertise provided by GICHD to the Swiss initiative on Safe and Secure management of Ammunition → lasting change = clear profile in Geneva for both Switzerland and GICHD, anchored
- Support and Inputs by GICHD for work on the 2015 Dubrovnik Action Plan (CCM) on Clearance (with Co-Chairs Switzerland and Bosnia-Herzegovina)
- Training courses executed, information provided and international events organized by the Centre → networking
- RBM experience of the Centre; Implementation of the ISU financial procedures
- Successful adoption of Protocol V on explosive remnants of war
- Publication of the booklet on 'Developing National Mine Action Standards'; Using publications from the GICHD when conducting workshops for other organizations e.g. Mine Action Legislation
- Cooperation on information management systems development; Cooperation on IED policy & mine action
- Mainstreaming Gender in Mine Action

What were the factors that supported this sustainability?

- IMSMA is updated by GICHD
- The Evaluation was realist and with clear recommendations
- Focus, setting of priorities, technical expertise, institutional knowledge network, cooperation, transparency, Trainings, consultations and seminars
- Readiness and capability of GICHD to look into contemporary challenges in domains adjacent to mine action; readiness to support political processes
- Fund raising, available resources

Additional comments

- In my point of view, the GICHD support has been the main factor to the success of landmines convention today
- The GICHD makes the great job in developing and making the world safety free from mines/uxo/axo. The main target of Centre is to minimise the danger work of deminers on the field, making strong rules of demining process. Collecting all information of Mine/UXO from the Countries which have the mine/uxo problems, about the demining operations. Development and implementation of new technologies to improve the collection and transfer of information obtained from the site of clearance operations. Assistance to countries in the development of national standards. Conducting trainings to improve the qualifications of personnel involved in mine action.
- GICHD has been very pivotal in shaping our mine action centre. GICHD needs to keep on working with all stakeholders to assist mine affected spots which without that assistance may take time to be relieved of mines.
- The Centre should never lose sight of the ultimate aim of its work, which is to make life better for beneficiaries in conflict-affected countries and areas.

- The GICHD fills a unique place within the mine action sector. It is a centre of technical excellence and has a wide range of information and publications available to the sector. The Centre can be a little 'too Swiss' at times, but in general it is perceived as neutral.
- The Centre is important. Its future is dependent on being relevant in the field of mine action. There is a huge potential in looking into ways of making the mine action sector more cost effective. The GICHD should prove itself by identifying where it can contribute to such change.
- The GICHD adds value to the mine action sector but its role in respect of ammunition and SALW remains unclear. There is scope for greater alignment between GICHD's capacity building planning and studies, and that of operational NGOs
- I recommend the center to be more diversified in terms of having qualified staff from the field programmes.
- The centre could be so much better if it listened to the market and responded to serious appeals for help, rather than looking for voids to fill. Some of its training has been confused and created lasting damage, probably as result of its weaker staff not really knowing what they are talking about.

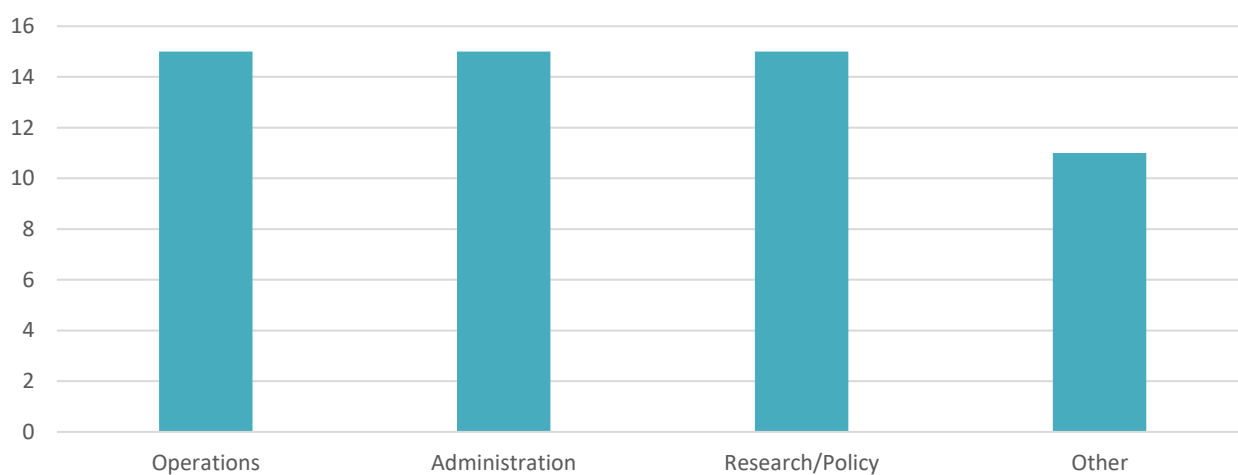
2. GCSP

2.1 Internal Staff Survey Analysis

General

- **Number of respondents:** 56 out of 67 invitations
- **Response rate:** 84%
- **Gender:** 43% male: 54% female: 4% prefer not to say

WHAT CATEGORY BEST DESCRIBES YOUR ROLE AT GCSP?

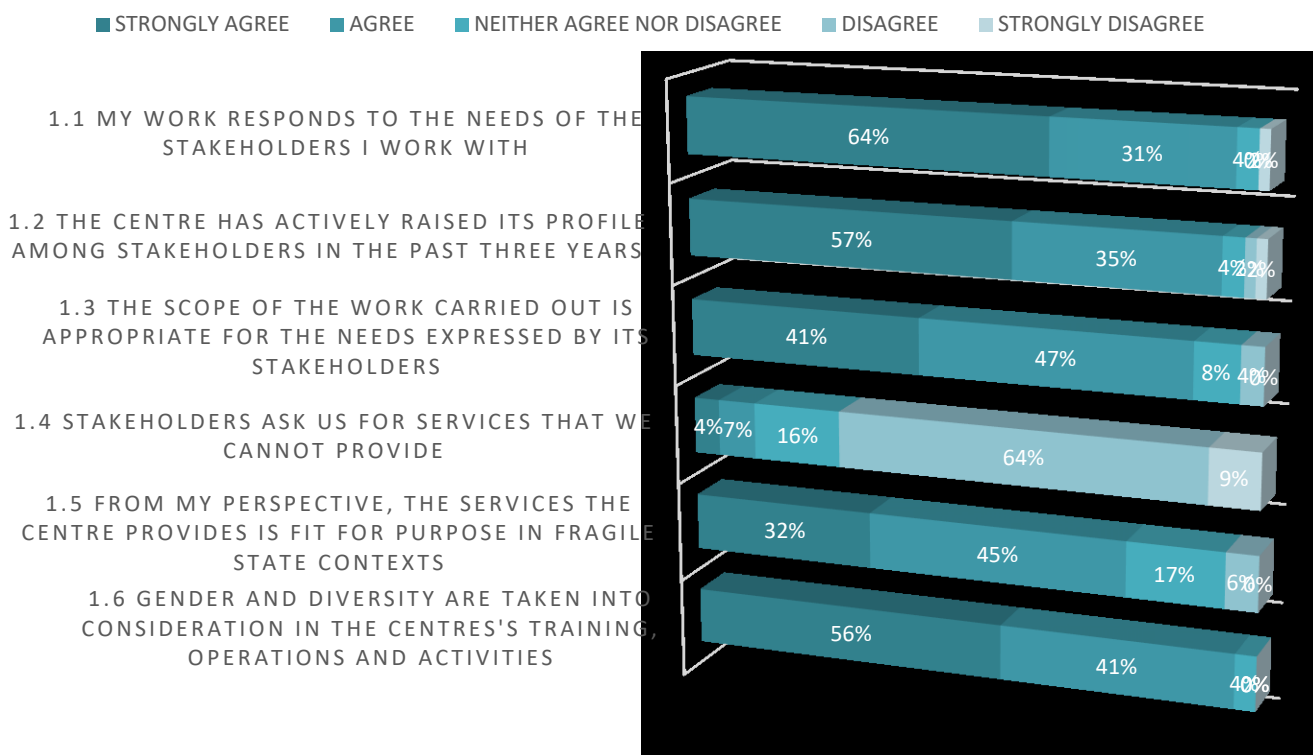


Other = Associate Fellow (1), Management (2), Both operational/research (1), ICT (3), Marketing & Communication (1), Cluster Leader (2), Reception (1)

Relevance

- General satisfaction with the relevance of GCSP's work, its scope and how well it responds to perceived needs.
- Gender and diversity considerations are perceived to be taken into account in Centre's training, operations and activities (56% strongly agree, 41% agree).

HOW RELEVANT IS GCSP?



Additional comments

- Increasing the activities in such a speed as it happened in the past 3 years, did not prove to enhance the relevance to my view. Quantity does not automatically result in relevance.
- The Center has lost part of its intellectual force for thematic and regional issues in recent years. This may impact the level of courses and other relevant activities.
- Some projects from intern stakeholders at the GCSP are initiated and approved before concertation with the other stakeholders and before checking the resources available. An evaluation of the internal resources at the GCSP compared to growing number of projects and a clear chain of project decisions must be implemented.
- The Centre strongly grew over the past three years with successful, creative, dynamic new courses and activities; this with the same number of staff as before. The Centre is unique and has an exceptional tool in its hands and has a great role to play in executive education.
- The GCSP work is relevant in the current security situation. We deal with a wide spectrum of security challenges helping our stakeholders to realise the challenges and think of realistic solutions. Even though we are an independent foundation, we receive most of our funding from the Swiss Federation. I see the GCSP as an instrument of the Swiss foreign and security policy. As such we help shape discussions about security and build capacities in countries and regions where Switzerland has its priorities. Simultaneously, we have the freedom to evaluate emerging security challenges and work on them unrepentantly of Swiss priorities.

- Recently both services and staff have evolved with turnover, modifications of programmes according to needs and possibilities. It is an exciting and innovating time to be there although sometimes management strategies have not been very clear as to which direction our services were going towards.

La Maison de la Paix and synergies with the other Centres

2.1 Has the move to the Maison de la Paix allowed for more synergies to be developed with one or more of the other Centres (e.g. joint publications, training, workshops, sharing lessons learned, etc.). If yes, why is this the case?

I did not work for the Centre before the move and so could not say: 22 / I do not collaborate with the other Centres in my area of work: 5 / **Yes: 21**

- Physical proximity and location: better collaboration, communication, and sharing experience, especially with DCAF. There are a number of working groups (gender hub, SDG, peace and security initiative, and on the logistical side) between MdP partners, and the three centres. These have led to joint public discussions, events, better collaboration on e.g. ISF conferences, as well as the information sharing, lessons learned side of things. Publications, events and trainings together. Facilitating contacts and dialogue. Invitation of representatives for presentations of their Centre. Thematic coherence is improved. Maison de la Paix atmosphere and "new start in a new building".
- Limitation: staff turnover

2.2 Is there any other way in which the move to the Maison de la Paix has positively or negatively impacted your work?

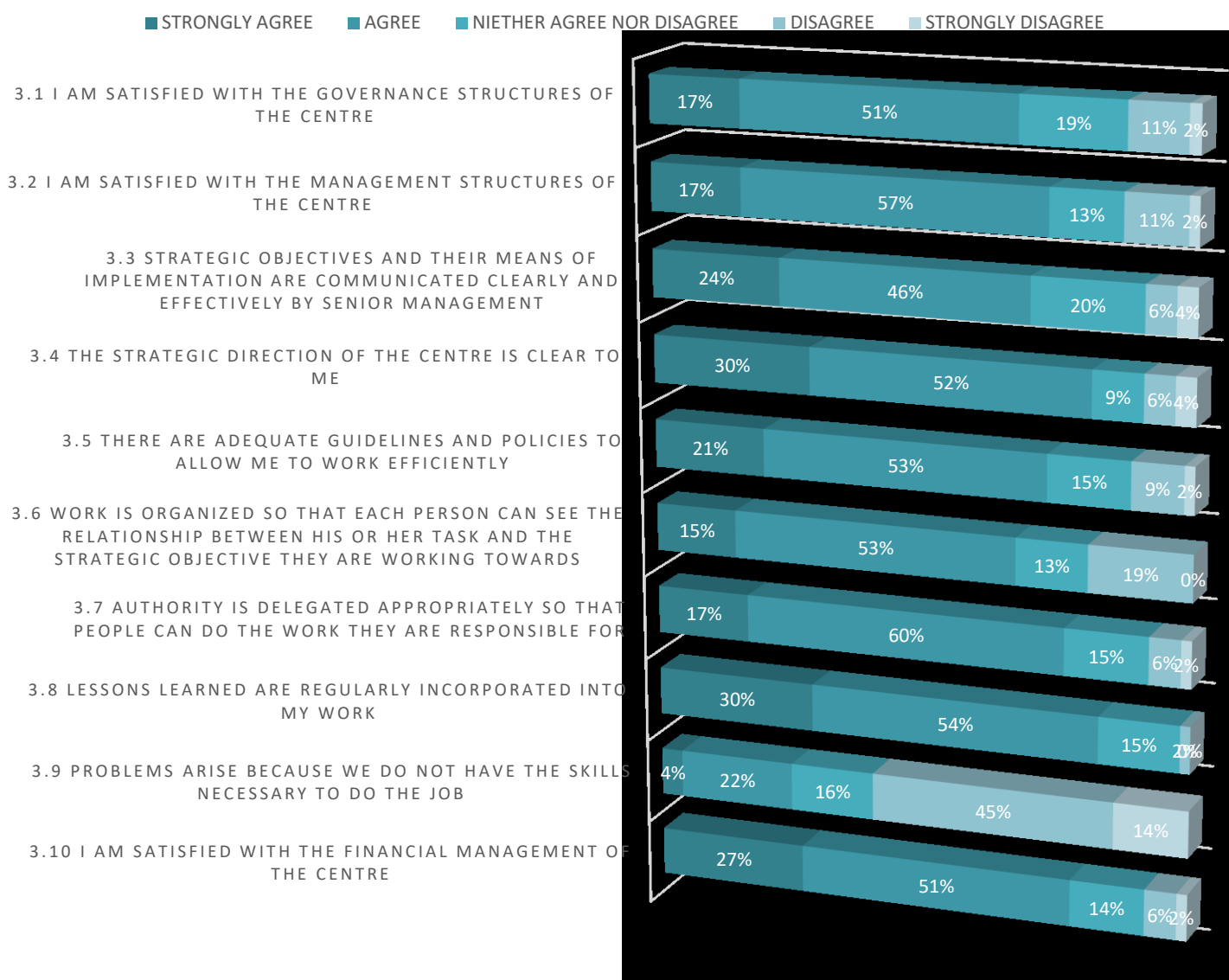
I did not work for the Centre before the move and so could not say: 25 / I do not collaborate with the other Centres in my area of work: 2 / **Yes: 17**

- Closer ties and proximity with IHEID.
- Architecture has significantly helped transformed the activities of the Centre, especially the executive education and dialogue activities. It has also contributed to the creation of the Global Fellowship Initiative.
- Better work environment.
- GCSP staff used to be on the same floor in the WMO building, which greatly facilitated communication, collaboration. The move, and being split on different floors (with 3+4 not connected with the central staircase) required adjustment in how we were used to working. On the other hand, the facilities of the MdP - classrooms, equipment etc. are all top notch and correspond much better with our brand.
- It is a nice working tool and we do really appreciate, but it has not impacted my daily work; maybe only the fact that I am now working in an open space area which is nice but not always ideal in terms of concentration.
- The move has allowed us to simplify the logical and physical architecture of our IT infrastructure. In and of itself, this has allowed me to focus more time on other projects.
- The move made us physically closer together. This allowed to personally know colleagues from other Centres. This helps exchanges which might lead to common projects. I think it was a very good move.

Management and governance effectiveness

- Staff satisfaction with management and governance at GCSP is globally positive.

HOW EFFECTIVE IS GCSP'S MANAGEMENT AND GOVERNANCE?



Additional comments

- Needs:** increased engagement of Foundation Council; more long-term planning (courses and events) by executive management, more focus and prioritisation (quality over quantity), clear roles and responsibilities (not always the case) e.g. using RACI, clear guidelines on approval process, decision making power by the cost center responsible, less turnover by recruiting skilled permanent staff over 1-year JPOs or interns; re-connect GCSP mandate and the current direction;

more researchers and academic staff; needs in human resources; accountability from Senior staff
→ lack of capacity

- The role of the "comité de pilotage" is unclear and seems to run in parallel with the Bureau and Foundation Council
- Challenges: marketing (there is no clear strategy and the one that is in place is not reflective of the stakeholders we are trying to attract) and fundraising (which done on the lower managerial level attracting only small amounts for individual projects). As for the governance, it would be good to bring back the Advisory Board (composed of high level security personalities) who would help the management to fine-tune strategic direction and identify financing sources.

Effectiveness

- Overall, staff are positive about the effectiveness of GCSP with 89% who believe that the products and services provided by the Centre are of high standard.
- However, 21% of respondents think that the strategic objectives are not attainable and realistic.

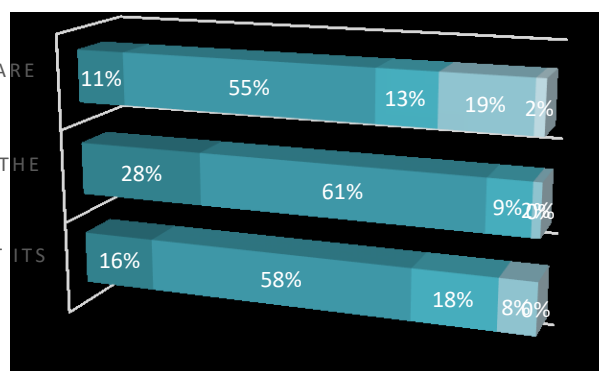
HOW EFFECTIVE IS GCSP?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE

4.1 THE STRATEGIC OBJECTIVES OF THE CENTRE ARE ATTAINABLE AND REALISTIC

4.2 THE PRODUCTS AND SERVICES PROVIDED BY THE CENTRE ARE OF HIGH STANDARD

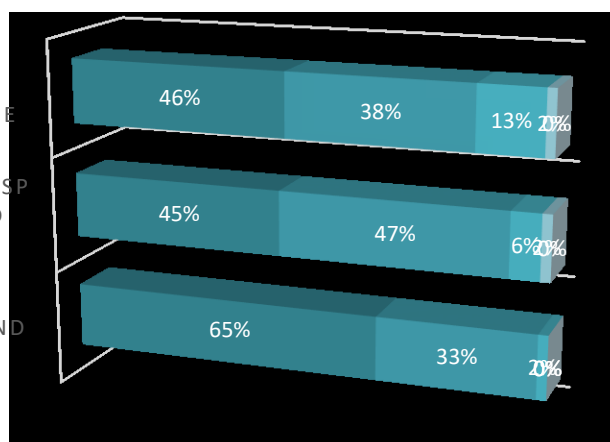
4.3 THE CENTRE IS ON TRACK TO MEET ITS STRATEGIC OBJECTIVES



GCSP SPECIFIC: TO WHAT EXTENT DO YOU AGREE WITH THE FOLLOWING STATEMENT?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE

- 6.1 THE SERVICES OFFERED BY GCSP ARE DYNAMIC, APPROPRIATE AND COMPETITIVE
- 6.2 THE TRAINING METHODS PROVIDED BY GCSP MEET THE NEEDS OF TODAY'S CIVILIAN AND MILITARY CLIENTELE
- 6.3 IN THE PAST 3 YEARS, THE GCSP HAS EXTENDED ITS' PROGRAMMATIC COURSES AND POTENTIAL CLIENT GROUPS



Factors supporting effectiveness

- **Staff & Human resources:** expertise; commitment; core group of dedicated and competent staff; liability; enthusiasm; diversity; highly skilled; flexibility; professionalism; cooperation between staff; team spirit; positive atmosphere
- **Leadership and management:** innovative and visionary Direction; communication; clear strategy
- **Financial resources:** Core funding from Swiss confederation
- **Reputation and location:** rich network; based in Geneva and support from FDFA in Bern; Infrastructure of Maison de la Paix; neutral and inclusive place for discussion; reputation of Geneva; Modern, attractive and adapted working environment for staff and participants; high-tech equipment
- **Approach & Strategy:** Past reputation; Quality of its product; good communication; open and innovative; diversity of approaches; start-up mentality based on entrepreneurship; course selection relevant to the marketplace; ambition of vision and quality of the orientation; room for creativity and initiative

Factors limiting effectiveness

- **Lack of human resources:** High turnover (JPOs and interns); sometimes unqualified; lack of team spirit; sometimes a lack of sensitivity to the operational side
- **Management and strategy:** Lack of long-term planning; lack of fundraising at a management level; no focus on international security policy; missing alignment between GCSP and its prospective clients; implementation of the strategy; leadership is weak; Lack of support by the Foundation Council; slow decision-process; lack of coordination and of transparency in decision-making process
- **Trainings:** too high quantity of courses and seminars; lack of expertise in certain academic areas; Slow process for moving into fee paying courses; lack of internal research; too wide range of topics

- **Lack of financial resources:** lack of expertise in fundraising; lack of adequate funding; Unrealistic financial objectives (fee paying courses covering 40% of the GCSP budget; Executive training Centre versus Business school) unless we do more promote each fee-paying course; occasional shortage of resources
- **Competition & visibility:** not enough public visibility; lack of expertise in marketing; communication is not clear; growing competition; limited interaction with NGOs
- **Location:** cost for attendees

Sustainability

4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work? Yes: 25 / No: 3

Comments:

- We design projects in ways that do this and our donors also demand this.
- Create and develop quality partnerships, attract new clients, develop new areas of collaboration
- Through Alumni community.
- Analytics and stats captured for KPIs. Measurement tools (surveys...).
- Written guidelines to ensure internal transfer of knowledge.

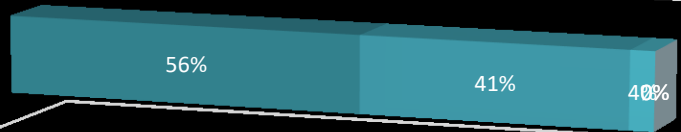
Efficiency

- General satisfaction on efficiency with 97% of respondents who believe that outputs of the projects are achieved on time and 76% believe that internal policies and guidelines are readily available.
- Response is mixed concerning the proportion of core experts and external experts is appropriate and that the Centre has the internal expertise it needs to deliver its services: 54% strongly agree and agree but still 21% in total disagree and 25% neither agree nor disagree.
- Opinion is also mixed concerning the appropriate proportion of core experts and external experts with 40% who agrees, 38% who disagrees and 23% who doesn't agree or disagree.
- Split of opinions on the question of whether there is a duplication of roles and functions among staff at the Centre: 24% believes that there is duplication among staff at GCSP.

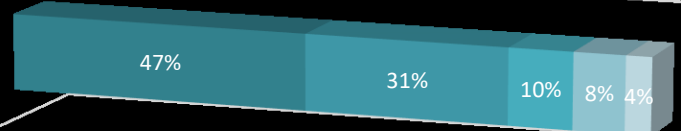
HOW EFFICIENT IS GCSP?

■ STRONGLY AGREE ■ AGREE ■ NEITHER ■ DISAGREE ■ STRONGLY DISAGREE

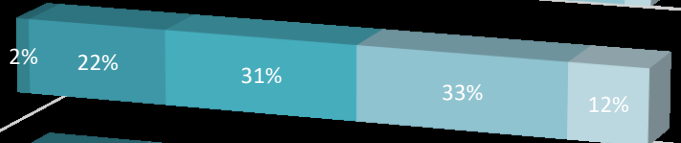
5.1 THE OUTPUTS OF THE PROJECTS I WORK ON HAVE BEEN ACHIEVED ON TIME



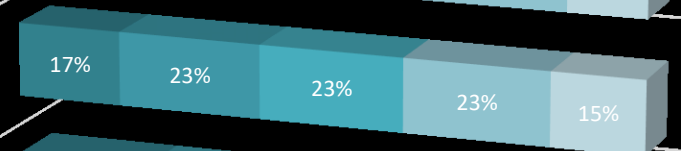
5.2 THE OUTCOMES I AM RESPONSIBLE FOR COULD NOT HAVE BEEN ACHIEVED WITH LESS FINANCIAL RESOURCES



5.3 SOME DUPLICATION OF ROLES AND FUNCTIONS OCCURS AMONG STAFF AT THE CENTRE



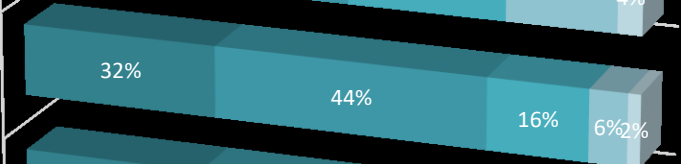
5.4 THE PROPORTION OF CORE EXPERTS (PERMANENT STAFF) AND EXTERNAL EXPERTS (TEMPORARILY MANDATED STAFF) IS APPROPRIATE FOR THE OUTCOMES WE ARE WORKING TOWARDS



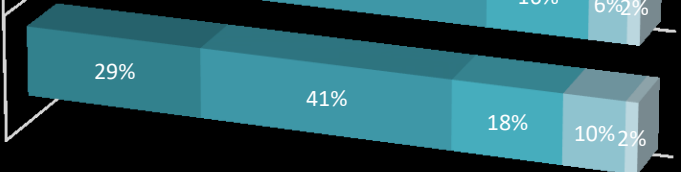
5.5 THE PROFILES OF CORE EXPERTS ARE ADEQUATE FOR THE CENTRE'S NEEDS



5.6 INTERNAL POLICIES AND GUIDELINES ARE READILY AVAILABLE



5.7 INFORMATION SHARING ON INTERNAL POLICIES IS TRANSPARENT



SWOT questions in the survey

Strengths

- **Staff and Human resources:** excellent atmosphere; cultural diversity and backgrounds of staff, multi-disciplinary staff; open-minded; empowerment; dynamism; dedicated and committed staff
- **Strategy and Approach:** bringing together a variety of stakeholder groups, Dynamic, inclusive, cross-sectoral, education, accessible; high professional standards; creative and innovative; forward thinking approach; great collaboration; ambitious vision
- **Reputation and Environment:** Impartial, independent centre, convening platform, Swiss, trustworthy, based in International Geneva which is also a financial services and trading centre; good visibility; unique platform in terms of international dialogue and executive education; location and building; networking and partnerships with key actors; clear thematic niche
- **Trainings:** quality of courses, content and qualification of trainers; course portfolio
- **Financial resources:** core funding secured from DFAD

"The Centre is a very congenial place to work at, with a number of remarkably experienced and dedicated staff. It is one of the most intellectually stimulating environments I have worked at and with some very creative approaches to teaching and mediating. Its network of professional contacts, speakers, experts and alumni are strong resources for its core missions."

Weaknesses

- **Staff and Human resources:** lack of resources and too wide range of projects; turnover which threatens continuity; skill gaps; Lack of in-house substantive expertise in international security policy
- **Strategy and Approach:** understanding of the corporate sector, support by the foundation council; the decision of quantity over quality; a deeper understanding of target audiences is sorely needed and teams need time and capacity to properly identify and monitor these audiences so that the right messages reach them; Missed opportunities for synergies
- **Management:** lack of management involvement
- **Reputation and Environment:** Deficit in local notoriety; Low visibility – Marketing; period of transition, new image still in the making; local & international quite weak recognition; Limited visibility within the private sector
- **Financial resources:** Only one main sponsor; No long term secured financing; Financial dependence (on Confederation)

"The Centre may suffer some overstretched ambitions towards expanding its missions and services which financial and staff resources may not be adequate for. Some realistic goals and strategies should be set and adequately communicated, and better use of the pool of creative talent in the staff could be made."

Opportunities

- **Invest in human resources**
- The global identity and the global network: Alumni network, partnerships
- Develop continuing education to cope for complexity and technological progress; innovation
- Location: potential for more synergies (e.g. with private sector); International Geneva? Rich resources in expertise, multitude of different perspectives for dialogue & courses, neutral CH is

very useful for promoting our courses. In MdP - the cross institutional hubs e.g. gender etc., facilities (e.g. heid), information sharing provides opportunities for joint activities & collaboration. Place for dialogue and debate.

- Unique niche: potential to become the leader in the field; International security is a huge advantage because it is an expanding and interlinked area; growing interest for its thematic and current geopolitical challenges provide growing opportunities to diversify courses; Bridging the gap between gender and inclusive security policy and leadership practice and building understanding about the policy challenges
- Potential for new clients and new funding

Threats

- **Human resources:** turnover; focus on quantity; The over-ambitious agenda, in relation to the small resources; lack of expertise and experts in some thematic areas
- **Financial resources:** lack or reduction of funding from Swiss Confederation; non-diversification of budget
- **Competition in the field:** not always aligned with potential clients; Possibility of Cyber attacks; many think-tanks in the same field (e.g. Moocs); insufficient monitoring and awareness of competition
- **Strategy:** lack of long-term vision; Reluctance of customers to pay for courses

Additional comments

- What the GCSP does is invaluable for our traditional audiences (army, diplomats, governments). What we need to do is maintain and grow them, while building and growing long-term relations (ips) with int'l org, NGOs and private sector. What we need to do better is be more strategic (based on qualitative and quantitative course and events evaluation results) and efficient (prioritise and focus on best performing courses and e.g. multiply them in Switzerland and abroad, and plan ahead of time). Staff at the GCSP is highly motivated and agile - however, these few elements would help in increasing efficiency. The opportunities for the GCSP are numerous and diverse and I'm excited to continue contributing to the Centre's success.
- The GCSP has a high potential that is not being capitalised on to the extent possible. We have an excellent reputation expressed by stakeholders I encounter but this is mainly based on past, high quality courses and other projects. We need to focus more on quality (recruiting and retaining experts who deliver such outputs) and less on quantity and non-international security policy related topics. This will allow us to better focus our fundraising efforts and outreach to partners (we need in-house experts for both these).
- Focus on priorities of centre, less is more. If there is a demand for more programmes than invest in a bigger communications, marketing and sales team to be able to keep up with the demand and stay ahead.
- GCSP deserves high credit for the last developments within the last 3 years
- GCSP is a world leading and known think tank / executive education leading organisations in international peace and security. Should seek to establish hubs world wide
- I believe the Centre under the leadership of Amb. Dussey has undergone a significant "revolution" since he took over in 2013. I believe we are going in the right direction.

- I strongly believe that the low visibility of our Centre is the reason why we are maybe missing some important opportunities.
- Fellows could be better selected and bring more added value. Besides, GCSP works/trains on international security related matters and cannot generate profits comparable to business schools
- Work environment and conditions are excellent at GCSP esp. because there is a mix of junior and senior staff that makes it a positive work experience.
- Today's security problem is interlinked and cross boundaries. Academia because of its silo mentality cannot provide the expertise that GCSP offers. However, maintaining a multidisciplinary approach requires enough human resources and expertise
- The remuneration for JPOs is indecent (3500CHF gross) for highly qualified professionals. This does not allow you to be financially independent for the 7th most expensive city on earth. The average gross salary for my exact profile in non-profit environments is 5700CHF, according to the Swiss Confederation's tool Salarium.
- The GCSP is a wonderful organisation. It has a very talented staff, people who are really willing to work hard in order to achieve success. However, as it stands now, most departments are severely overworked due to lack of capacity. We have to take this into serious consideration in order to achieve our goals for the future.
- Need for more real opportunities for staff to be promoted, to feel empowered
- I would like to say that I am happy and proud to work at the GCSP. Some final comments: generally speaking, try to do less but better. Evaluate the attractivity of some projects, get ride of those who attract too few participants and concentrate on the successful ones with a real promotion campaign. Increase the number of internal experts and permanent staff (interns necessary but with limited number). Better consider the permanent working staff which did a lot during the past three years regarding the Centre's growth (gratification, bonus, etc...)
- The centre provides a much-needed space to develop knowledge and understanding of contemporary security challenges, and foster greater collaboration. For gender and inclusive security, relationships, knowledge, activities and impact are growing. I am optimistic about the future with recent additions to senior management, and the positive attitude of colleagues. Core funding on gender is essential to be able to better 'mainstream' gender across our activities, and build knowledge and understanding in this area.
- Huge transformation of the center with a lot of place for creativity and innovation given to the staff
- I think the GCSP will always have its place whether its a platform for dialogue or Centre for education. Apart from financial restrictions, we have the ability to remain highly relevant now and in the future.

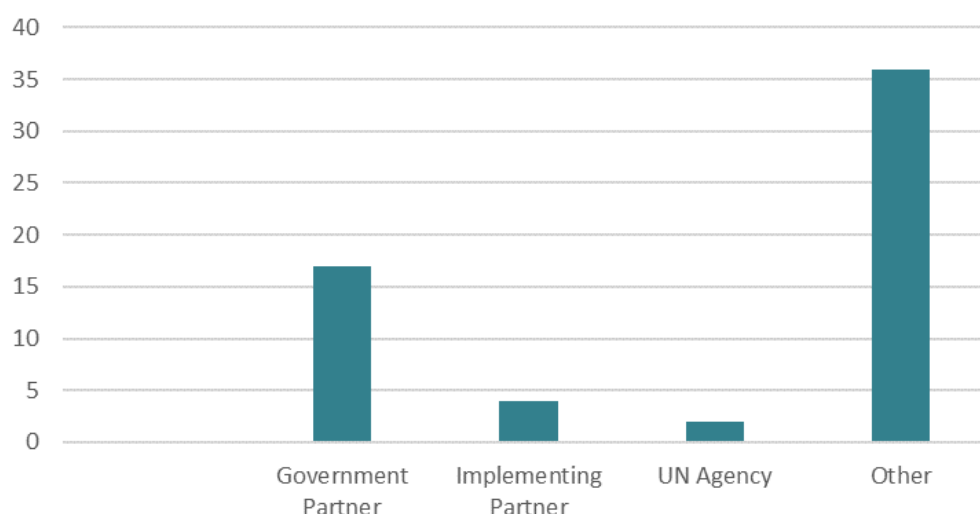
2.2 External Stakeholder Survey Analysis

General information

- The GCSP External Stakeholder Survey was sent to 142 people. We received 59 responses.
- Response rate was 42%.

- 64% of respondents were male, 36% were female.

WHAT STAKEHOLDER DO YOU FALL INTO?



“Other” included:

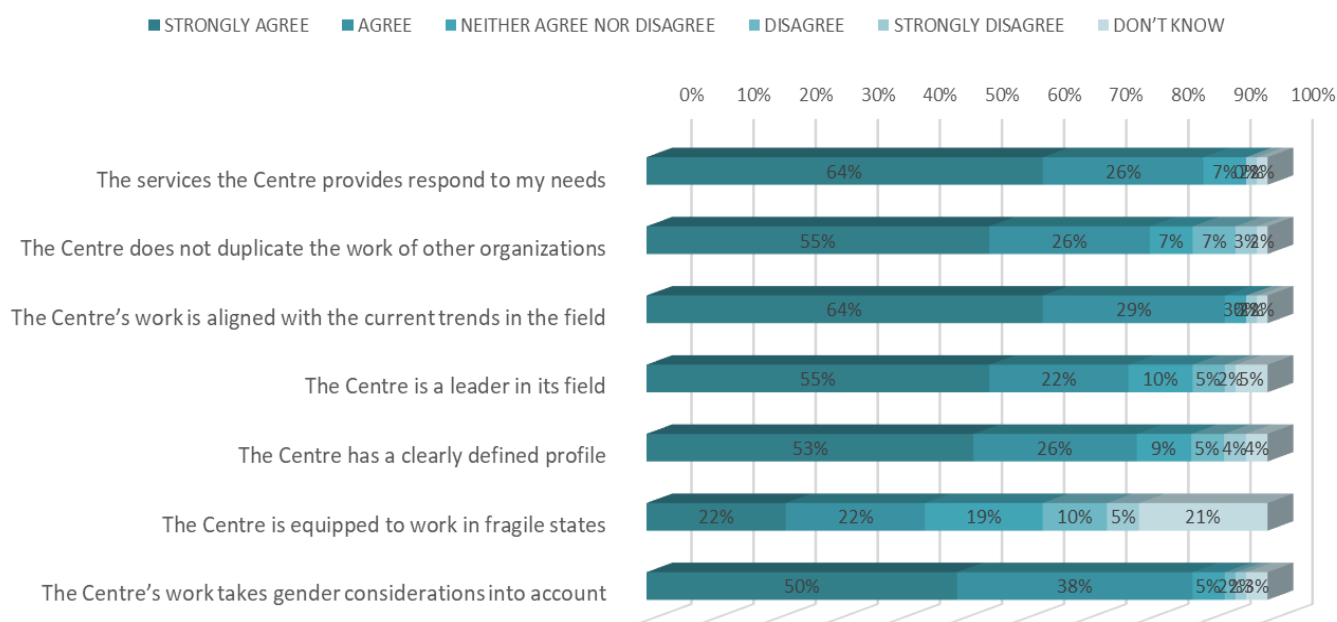
NGO partner	4
Affiliate	1
ADA University	1
GCSP Alumni	6
Chairman, Foundation Council	1
Fellow	9
Partner	1
Private Sector	1
UN accredited NGO	1
Executive in residence	4
Ministry of Defence cooperating with Centre- educating professionals, providing speakers	1
Alumnus, president of Belgian Alumni Association B-GCSP	1
Academic contributor over many years	1
Journalist	1
Consultant	1
UNIGE PhD Candidate	1
Developmental Partner	1

Relevance

- Stakeholders are globally positive about the continuing relevance of GCSP.
- There are particularly positive about the Centre’s work to integrate gender considerations (88%) and the alignment of its work with current trends in the field (93%).
- Respondents are less convinced that the Centre is equipped to work in fragile states (only 22% strongly agree and 22% agree).

- GCSP appears to be a leader in its field for 77% of respondents.

HOW RELEVANT IS GCSP FROM THE POINT OF VIEW OF STAKEHOLDERS?



Are there any gaps in the scope or geographic coverage of the Centre's work?

On 59 respondents, 40 answered No and 17 answers yes. Their explanation was the following:

- Needs to develop presence in:** Asia, Latin America, Middle East, "disputed territories", South-East Asia, partly Africa, Eastern Europe and Caucasus. Potential in the private sector.
- Communicating the critical importance of **intersectoral approach** - GCSP is working in an interdisciplinary way but it is Geneva's "best key secret" in that respect.
- The GCSP could be more involved in **capacity building** for Least Developed Countries' leadership. To do that, the GCSP needs more financial supports from its donors.
- Le centre n'a pas d'engagement géographique sérieux et soutenu par des capacités/ressources humaines adéquates pour le faire - déconnecté des réalités effectives du terrain.
- Special policy on EU neighboring countries and on internal challenges within the EU that are related to international politics. We live in a world where all these problems are interdependent, connected. This includes the EU itself. Closer co-operation with NATO might be needed as well. Try to incorporate Sustainable Development Approach ("Leave no-one behind").

Effectiveness

- Stakeholders were positive about the Centre's effectiveness, agreeing that it has a clear strategic direction (50% strongly agree, 29% agree) and that the Centre coordinated well with its partners (39% strongly agree, 30% agree)

HOW EFFECTIVE IS GCSP FROM A STAKEHOLDER'S PERSPECTIVE?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE ■ DON'T KNOW



What are GCSP's strengths?

- Staff and Human Resources:** in-house expertise; knowledge combined with experience; great balance of academic and practitioner knowledge; inclusiveness; creativity; motivation; good management team
- Approach:** open to innovation and intersectionality; awareness of the latest trends and global issues; comprehensive approach; diversity of thematic addressed; ethics; integration of global voices
- Reputation and Image:** network; impartiality and flexibility; "ambassador" of Switzerland; political neutrality; Location in International Geneva
- In the field:** strong convening power; programme design and delivery; methodology; dialogue between partners; multi-stakeholders
- Trainings:** interactive way of teaching; quality of trainings and trainers; unique training methodology; combining knowledges from academics, well-known practitioner and participants; publication of reports to selected issues

"GCSP is a wonderful education institution, but beyond, it is also a great forum where ideas are shared to generate more informed insights."

What are GCSP's weaknesses?

- Staff and Human Resources:** experts' turnover; lack of leadership; regional gaps in recruitment
- Approach:** go in many different directions, lack of coherence; security strategic and leadership approach is heavily influenced by the "Western English speaking academic approach"; less academic research than in the past; gaps on plans and vision of the center between management and teaching staff; dependence on western literature to security issues

- **Reputation and Image:** need to diversify its client base; not very well known at Etat de Genève; insufficient visibility
- **On the field:** The centre doesn't have an office in Asia; Balance within non-institutional partners/players; lack of communication on strategy; lack of connection with the field; diversity of issues but not addressed in-deep; Not enough services provided in French
- **Financial resources:** lack of core funding; expensive Geneva; limited resources

Efficiency

- Positive results on efficiency – there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at the Centre to collaborate.

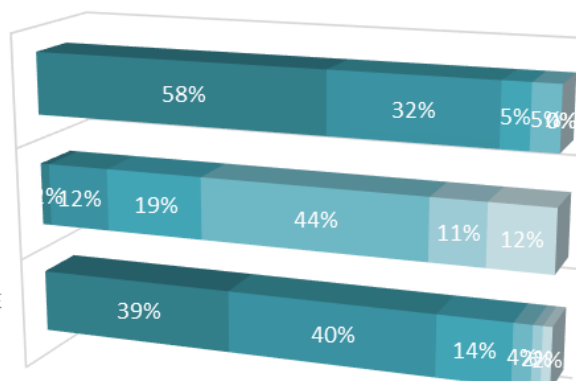
TO WHAT EXTENT DO YOU AGREE WITH THE FOLLOWING STATEMENTS ON THE EFFICIENCY OF GCSP OVERALL?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE ■ DON'T KNOW

IT IS CLEAR TO ME WHO I SHOULD BE IN CONTACT WITH AT THE CENTRE ABOUT MATTERS RELATING TO OUR WORK TOGETHER

SOME DUPLICATION OF ROLES AND FUNCTIONS OCCURS AMONG STAFF AT THE CENTRE

THE PROFILES OF THE CENTRE'S CORE EXPERTS ARE WELL SUITED TO THE WORK IT DOES



Sustainability

Do you have any examples from your collaboration with the Centre where an intervention has lead to lasting change?

- Knowledge improvement through trainings, in the field of international affairs, security issues, state governance and rule of law, democracy issues. Prevention of violent extremism. The trainings for professionals have a lasting impact in terms of capacity building and future networking. The courses provided shaped the mind of leaders in all regions. They in turn make a long-lasting impact locally as they return back.
- The center adds in the long-term to the intellectual reputation of Switzerland internationally. Locally in Switzerland and Geneva, the efforts of the center to bring together international organisations, private sector and public servants improve the ecosystem. As a neutral place, bringing representatives of countries together in Geneva has an immense effect on mutual understanding and peace fostering. Building trust amongst opposite parties. Creating awareness

regarding leading foresight methodologies; Collaboration with local partners; capacity to create diverse networks.

- Launch of the Global Fellowship Initiative.
- New members of the Foundation Council.
- Result-based management

What were the factors that supported this sustainability?

- **Staff:** open-minded, positive, committed; Team building spirit; leading human resources / expertise; Creativity
- **Management:** Director's vision and attitude
- **Trainings:** methodology (simulations); excellent delivery of knowledge
- **Approach:** respect of Swiss values and ethical standards; engagement with pivotal young leaders; Presence in Geneva and access to wider network of leaders; bringing actors together which do not interact under normal circumstances
- **On the field:** use of media; excellent cooperation with partners and stakeholders; physical presence in many cities in the world; adaptation to the needs; Quality of network
- **Financial resources:** donor consistency

Additional comments

- The positive attitude of each and everyone collaboratively is a key differentiator of the Center. Very strong emotional intelligence and exceptional dedication of the employees bring the experience and the possible impact to another level. These people believe in making a difference.
- GCSP has innovative and interactive approaches to training of the professionals from all around the globe. I had a very positive experience with GCSP. It is a leading organisation in its field of expertise.
- My participation to an ITC course (1997-1998) was very important for my professional career. It was both an educational and professional experience, instrumental for a diplomat coming from an emerging democracy (I am from Romania and my first experience with the GCSP came only 7 years after the democratic transformation of my country).
- I think the center has more potential, than it is seen from the outside. From my point of view Center needs stronger PR and activities to rise the awareness about what it does and how much it can make the change towards positive.
- The centre has excellent components for great success, but some support from the leadership along with supporting the active elements with it would make it significantly better.
- GCSP provides a platform for intelligent analysis and dialogue, bringing together thought leaders together to define self-sustaining solutions.
- Marketing and Communications would benefit from a general upgrade in talent, coordination efforts, enthusiasm and energy.
- The GCSP has acquired a unique position thanks through its blend of theory and real practitioners.

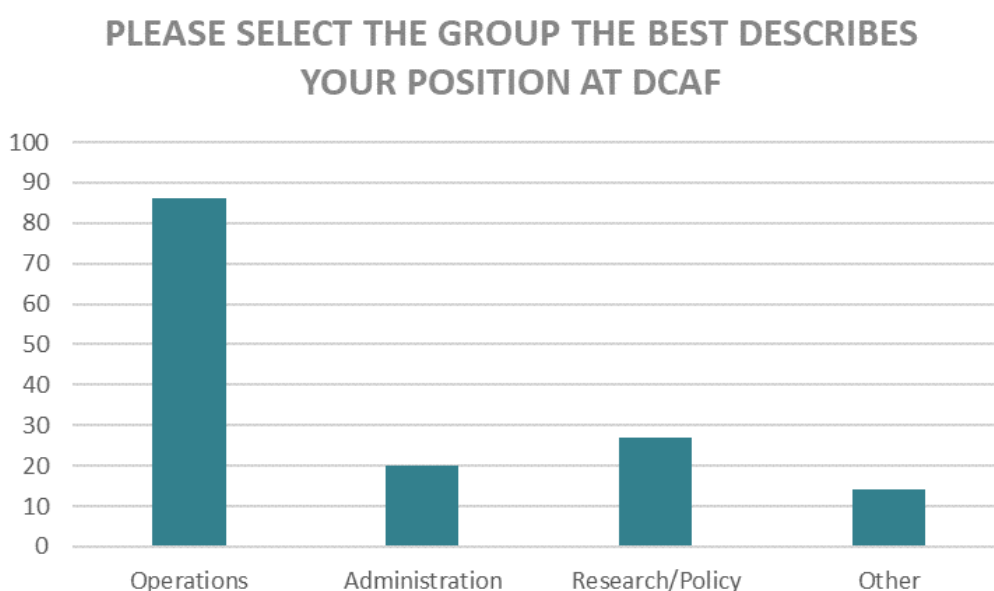
- GCSP values its students/courses participants and every year or (now) bi-annually invites all alumni to gather at Conference. Alumni advisory group is also team liaise with Alumni officer at GCSP and regularly gets a chance to present new ideas and models for education at Center. This interaction in both direction shows that Center is encouraging 'thinking out of the box' that can generate new perspectives.
- Need for a stronger sense of an overarching strategy, so that it becomes clearer how the executive education, fellows and other programmes fit together.
- More financial supports from donors are needed to allow the Centre to organise more activities and to allow as many as possible of participants to attend its training both in Geneva and in beneficiary countries, particularly for developing countries.

3. DCAF

3.1 Internal Staff Survey Analysis

General

- **Number of respondents:** 147 out of 220 invitations
- **Response rate:** 67%
- **Gender:** 41% male: 56% female: 2% prefer not to say



Other = ISSAT (6), Intern (2), Senior Advisor (2), Treaty Implementation, Professional Development, Seconded, Management, Head of Division (1, respectively).

Relevance

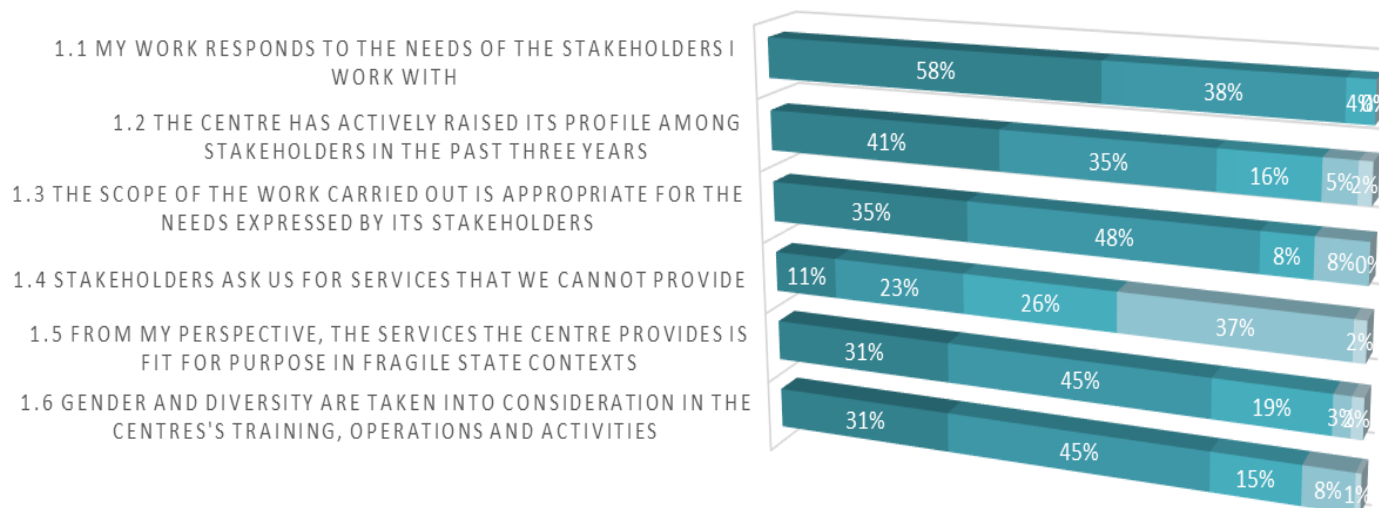
- General satisfaction with the relevance of DCAF's work, its scope and how well it responds to perceived needs.
- Gender and diversity considerations are perceived to be taken into account in Centre's training, operations and activities (31% strongly agree, 45% agree).

"In the last 18 months, DCAF has visibly increased the relevance of its services."

"Highly relevant in post-conflict contexts"

HOW RELEVANT IS DCAF?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE



Additional comments

What to focus on to improve relevance:

- Diversity in the staff: especially junior staff from the “Global South” (restrictions on work permits for non-EU countries is an issue); Gender mainstreaming and human-rights based-approach
- Local-regional presence; Broaden DCAF thematic scope; Complementarity
- Travel policy should allow employees to travel to high risk countries (such as Afghanistan and Iraq) where DCAF could have a real impact; Suitability of the work to fragile context
- Human and financial resources to answer the needs ; Innovation: not seen as a leader; M&E: more external evaluations

La Maison de la Paix and synergies with the other Centres

2.1 Has the move to the Maison de la Paix allowed for more synergies to be developed with one or more of the other Centres (e.g. joint publications, training, workshops, sharing lessons learned, etc.). If yes, why is this the case? I do not collaborate with the other Centres in my area of work: 39 / **Yes: 43**

- Geographic proximity with the other centres facilitates people's participation in cross-divisional meetings, events (Geneva Peace Week, Regional Breakfast series by the Geneva Peacebuilding Platform, etc.), joint trainings (RBM), joint publications and information sharing for a (especially on topics as Gender and the SDG's). As a result, we are more aware of what's going on. Who is who. Who is working on what. Synergies become much easier in such a context and less conscious effort goes into them. Better understanding of the mandates and capacities. More opportunities for collaboration.
- Management, strategies, directors are more aligned
- Continued collaboration, willingness to really be a "Centre of Excellence"

But:

- It is far from maximised (potential). Proximity helps, but we also need to figure out better how to fund such initiatives - most donors (with the exception of Switzerland which has a stake in this particular outcome) are still not sufficiently interested in coordination and funding meta-studies and a true lessons identification process with a follow-on programme to adjust their own behaviour.
- Profiles of the 3 centres are still very different from each other, distinct mandates and distinct capacities, which on the one hand ensures that they do not overlap in the services they provide, but on the other hand it also means that space for synergising activities is not always obvious
- Need to more visibility on cooperation initiatives between centres. There's is definitely more to be done in terms of communicating within and in between the centres about the cooperation initiatives already undertaken and opportunities to explore.

Main recommendations: We could share spaces for common workshops and activities and it is easier to meet and cooperate. Improve the communication on cross-centres initiatives and their visibility.

2.2 Is there any other way in which the move to the Maison de la Paix has positively or negatively impacted your work? I do not collaborate with the other Centres in my area of work: 30 / **Yes: 37**

Positively:**Building/infrastructure**

- Modern, well equipped offices, office space, more appropriate meeting rooms
- Localisation: more visibility in Geneva, closer to the UN

Better communication and greater intra-organisational cooperation (with other Centres, Interpeace, SAS)

- Easier to have informal exchanges on specific topics or challenges
- Much more direct exchange between Divisions and with the Director.
- Environment of learning and experience sharing
- Time saving

In general

- Gives a sense of being part of a wider engagement to promote peace and security
- Being part of a growing community of policy and operational experts, feeling of unity
- Perception, team feeling, identity, reputation, key aspects that have improve with the move

Negatively:

- Building is unhealthy work environment: people frequently complain about temperature, lighting and air quality; Building is awful; Working in open spaces has had a negative impact on my health and therefore also on my productivity at work.
- There could be more but synergies do exist (example: gender and diversity hub). the problem however is that collaboration only happens based on personal initiative (in my experience). very few people know the colleagues from the other centres. networks do exist among senior level employees and most junior (because they know each other from university, internships etc.).

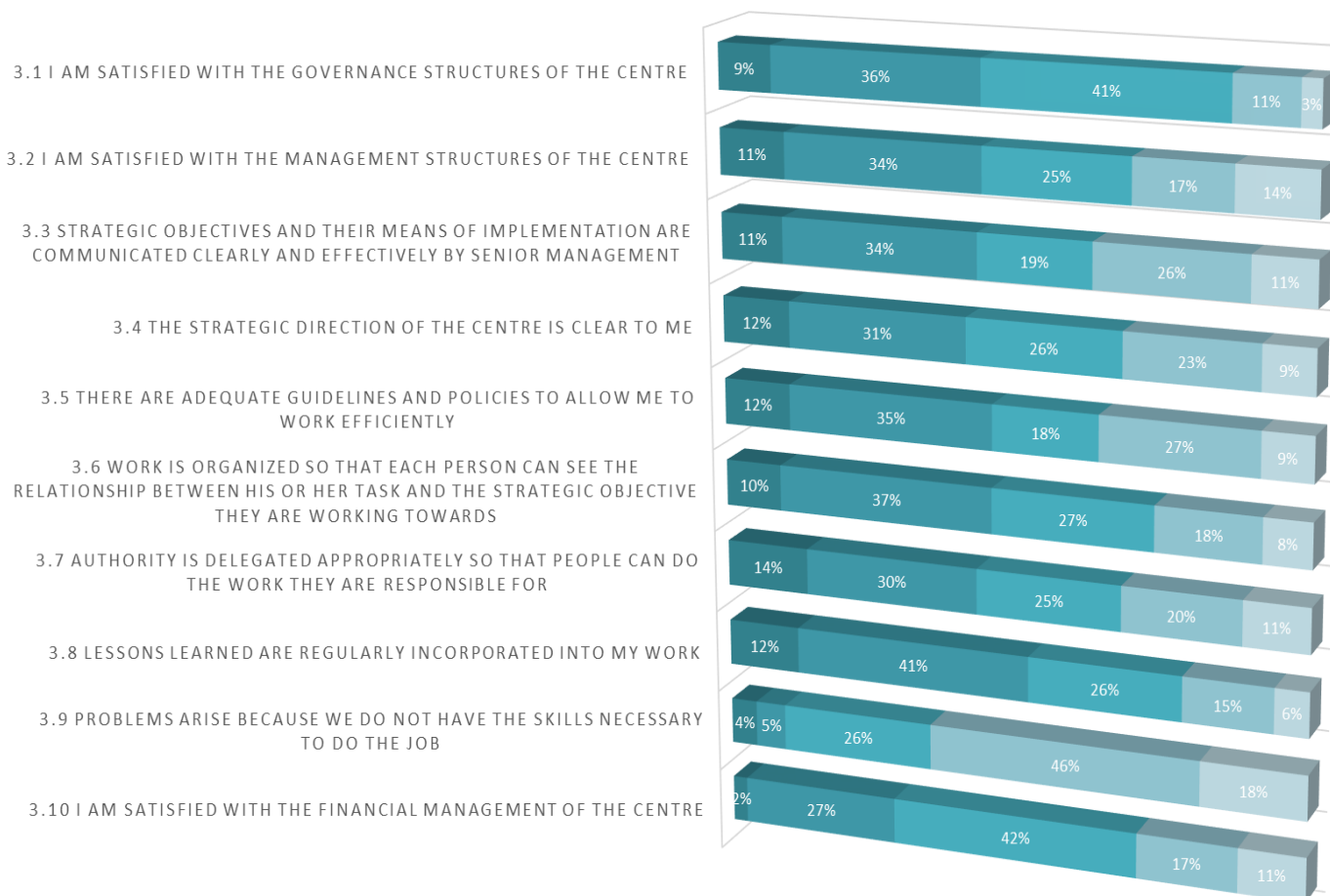
- Oddly enough, the move to the MdP has made DCAF's divisions more disconnected from one another.

Management and governance effectiveness

- Staff satisfaction with management and governance at DCAF is mixed.
- While over a third either agree or strongly agree with the positive statements, there is around one fifth reporting that they neither agree nor disagree with the statements. This may simply reflect the transition period that DCAF is going through.
- Just over one third of respondents disagreed (27% disagree and 9% strongly disagree) that there are adequate guidelines and policies to allow me to work efficiently. Similarly, over one third disagreed (26% disagree and 11% strongly disagree) that the strategic objectives of DCAF and their means of implementation are communicated clearly and effectively by senior management.
- Trends in the qualitative responses suggest that there are perceived issues with internal communications, coordination and dissatisfaction with management, although there is also a recognition that the organisation is going through a reform process.
- Overall, staff seems to understand that DCAF is in a transition period and employees are globally optimistic about the medium and long-terms perspectives.

HOW EFFECTIVE IS DCAF MANAGEMENT AND GOVERNANCE?

■ STRONGLY AGREE ■ AGREE ■ NEITHER AGREE NOR DISAGREE ■ DISAGREE ■ STRONGLY DISAGREE



Additional comments

Positive

- Improvements in how the Foundation Council has been used, more dynamic now
- Many big and important steps have been made in improving the management and governance of the Centre

Negative

- Directory Board: not gender balanced (17 men-8 women) and “some women on the DB are underpaid even according to the official salary scale” / little or no management experience of the DB / need to clarify their role / “failure to confront systemic abusive management practices”
- Lack of strategic vision/objectives and internal communication on it ; Weakness of the inter-divisional cooperation
- Transparent mechanisms in recruitment, accounting and control mechanisms, enhanced engagement with field offices

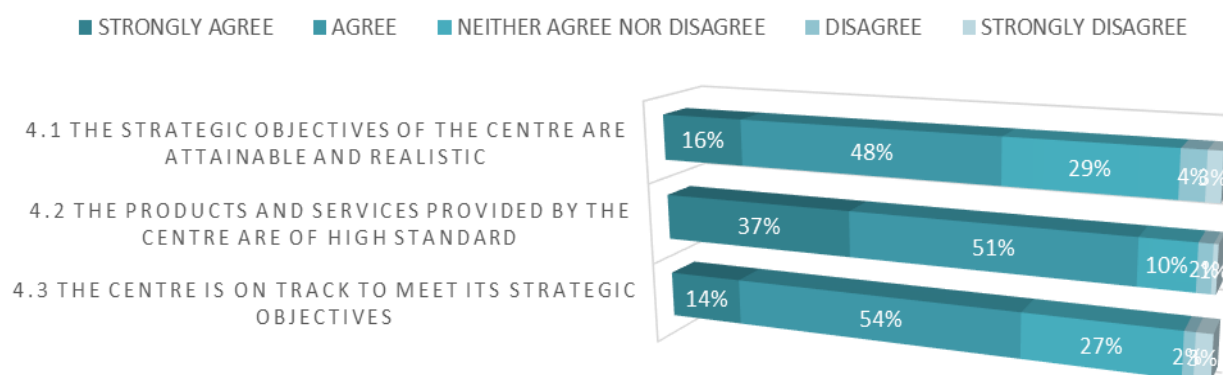
- HR management extremely weak – inequalities within the staff, promotions system, not enough is done to retain and motivate junior staff; harassment and discrimination cases have been reported
- Slow decision-taking processes
- Recent reforms are not enough communicated to staff
- Too hierarchical and complex structure

→ huge potential but policies and guidelines (and implementation of it) are missing

Effectiveness

- Overall, staff are positive about the effectiveness of DCAF
- Staff appears undecided about the outcomes of organisational changes for the effectiveness of the organisation (31% neither agree nor disagree that organisational changes in the past 3 years have contributed to more efficiently and effectively meeting objectives; 37% agree and 16% strongly agree)
- Staff agree that DCAF is positively contributing to the SDGs, implementing a holistic approach to SSR/G and increasing support to police and justice-related activities. Over one third of staff strongly agree that the products and services provided by the centre are of a high standard.

HOW EFFECTIVE IS DCAF?



Factors supporting effectiveness

Lack of competition + Good governance + Diversity of projects + Flexibility to act and react quickly in response to security governance challenges + Niche of security sector governance + Operational capabilities in key regional contexts + Connection to field offices and beneficiaries + Longstanding cooperation with the stakeholders; wide spectrum of expertise; long term relationships with the countries we support

- **RH & staff:** high-qualified, multicultural, mix of experienced professional and junior staff, knowledge and expertise, commitment, willing, professionalism, heterogeneity / expertise of local partners, variety of skills, solidarity among co-workers and team cooperation, staff dedication; It may be argued in a highly specific and limited context that a small number of staff are producing results that sustain the - now unwarranted - credibility of the centre, at least for the short term.
- **Networks/Communication:** events, exchange of information, great location (and possibility to connect with the other centers), networks within the International Community, with partner countries, with practitioners, network of respected experts with practical SSR experience; link with Swiss authorities, excellent contact with stakeholders in the field
- **Management:** strong management, common understanding of strategic objectives, organisation, realistic goals, clear strategy, openness to new ideas, change, reform and cooperation opportunities, flexibility, decentralised management, adequate leadership, clear guidelines, ability to plan ahead; bottom-up approach in the decision making process, transparency; insensitive given to staff, respect to staff; local management of national offices; follow-up of a strategic plan; The new director has launched a set of key reforms that are going to be very helpful for DCAF
- **Reputation & Credibility:** clear mandate and values are clearly expressed and delivered, top level access, reputation, wide international scope, reputation (provides the entry points for mandates), world leading organisation in the area of SSR/SSG, location in Swiss: The Centre is perceived as neutral; positive track record; ability to convince/influence stakeholders to change their behaviour; recognition as an impartial actor; sound knowledge of local realities and dynamics of (in)security; long-term presence in the sector; Risen recognition at the EU level
- **Approach:** “An integrated 'thru-life approach that combines applied research, policy and operational work”, unique approach: DCAF's tools include a standing capacity to support the international community to better deliver. This does not exist elsewhere. The Trust Fund for North Africa allows for a multiplier effect engaging in one of the highest priority areas for many governments by being able to cross-reference lessons and skills/capacities across the region; global coverage, multi-disciplinary, impartiality and neutrality, strong research culture; knowledge and awareness of needs of beneficiary states; decentralisation and autonomy in the field and quick responsiveness; long-term, reliable approach; inclusive and participatory approaches that give voice to a diverse array of relevant stakeholders, thereby promoting local ownership and laying the groundwork for sustainable results
- **Funding:** especially Swiss; high degree and availability of core budget funding; high transparency requirements; The Centre tries to engage in the provision of long-term support which helps to achieve results, as results at the level of immediate and intermediate outcomes may take years to achieve and require a long-term perspective; flexibility in budget allocation; stable financial support

Factors limiting effectiveness

- **RH & staff:** “Profusion of unqualified staff limits of the ability of the centre to perform basic policy, management, administrative and financial planning and implementation tasks”; Staff turnover; limited available human resources; the hiring freeze, preventing key positions being filled; Lack of regular internal trainings and workshops, especially for entry level positions; absence of career development policy to keep staff motivated; Lack of team building; Lack of ethical values, resulting in a disengagement of value-driven staff; Lack of investment and clear policies nurturing young and talented human resources; inequality between international and local staff
- **Networks/Communication:** heavy internal procedures; It would be good to have resources to do joint WORK with other Centres; lack of coordination between the different divisions & between the Head Centre and other offices; Lack of sharing or lessons learned and good practices between divisions; Poor IT services (extremely slow response time or sometimes no response at all even to urgent queries/issues)
- **Management:** weak financial management, tracking and analysis; decision making is slow; centralised management; lack of strategic planning; micro management; “poor representation in management with Swiss white males making up the large majority of the Directing Board”
- **Reputation & Credibility:** Starting from the stand point that other organisations working in the same geographical region are competition (e.g. UNDP seen as competitors) rather than part of trying to achieve the same goal; Patchy attention to gender; A legal status in Switzerland that is no longer adapted to the organisation's global mission;
- **Approach:** unclear strategy towards the interlocutors and their needs; harmonisation of beneficiary's needs with the set goals; Lack of quality-control. DCAF has no house-style guide, no procedure for the quality-control of publications. We desperately need a publications team to institute quality-control measures across DCAF. This would ensure that our knowledge products are consistent in style, format and quality.
- **RBM:** The methodology underlying the RBM is deeply flawed: it consists of soliciting feedback from partners who have a vested interest in giving us positive appraisals: this information is not cross-checked and it allows the centre to cherry-pick "good news" stories for the purposes of fundraising; The RBM framework is well-known joke in-house: the people who developed it had no experience even working with RBM before they created the existing system; Lack of respect for local ownership
- **Funding:** Short term donor approaches to long term security sector governance challenges; Increasing project funding has not been matched by increasing core funding; Core funding base is not diversified (95% Swiss) this limits the growth potential; Not using core funding for strategic purposes; Requirements imposed by donors (reporting, etc.); Lack of funding; heavy internal and external reporting requirements by some donors or main implementing partners
- **Security & Policies:** Insecurity and instability (for MENA); Lack of political will (for SSR) (sometimes only among a few "blockers"); inherently, democratisation and peace are areas of extreme volatility, where it is difficult to achieve sustainable and palpable results; Political constraints in/of partner countries and institutions; There is no political neutrality in some sensitive issues

Monitoring

4.7 Is there a system in place to monitor results? How well is this working? For most of responders, **yes** there is a system in place to monitor results. RBM was developed in 2014-2015. A corporate RBM system is in place, including a corporate results framework and instruments to gather information at the

corporate level and synthesise this performance information into an annual performance report. Great potential.

But:

- It is completely detached from the reality of our work
- More efforts could be made to collect more and better evidence of our results.
- It has limited efficiency from my perspective though.
- The system is too theoretical and bureaucratically "heavy" for some parts of the house, and is still being adjusted.
- it has a lot of gaps in terms of impact of what we do but that is a rather complex process that we are continuously trying to improve.
- lack of basic standardisation
- Time consuming
- The implementation is not effective because of a lack of training

No:

- The RBM system is not designed to monitor results: it is designed to give external stakeholders the impression that we measure results while allowing us to curate our public image for the purposes of fund-raising. It works very well at doing this.
- RBM system, introduced in 2015, piloting ended last year.
- M&E is not really applied as indicators and programmes changes over time so it is hard to measure against it.
- There is no system/procedure on how to measure the results of projects. While we are expected to provide reports to donors on our outputs, these are often generic and narrative-based, and there is no DCAF-wide system to assess the results of projects. Some divisions do, others do not.

Sustainability

4.6 Do you know if your outputs will be used/applied once your support has stopped? Do you gather evidence to measure the sustainability of your work? "No": 16 - "Yes": 26 (+ additional comments below) - "Don't know": 8

Yes:

- DCAF and its products have a strong reputation and influence strategy and policy making. There is certainly room for improvement in the measurement of results and evidence gathering, however, proper means should be secured and provided for that process.
- we usually have long term relationships, building on previous experience and tracking the implementation or application of previous projects.
- mainly thanks to the participatory approach we have adopted to develop and implement our projects
- regular and systematic monitoring through our field offices as well as our HQ staff and are in constant direct exchange with our key beneficiaries
- solid evidence that our outputs are applied and contribute to progress towards achieving the outcomes we strive for in line with our RBM

- We aim to ensure sustainability of our engagement, e.g. by supporting local civil society organisations and civil servants who remain in long term contracts and continue supporting local institutions.
- several Manuals and Toolkit are provided by DCAF

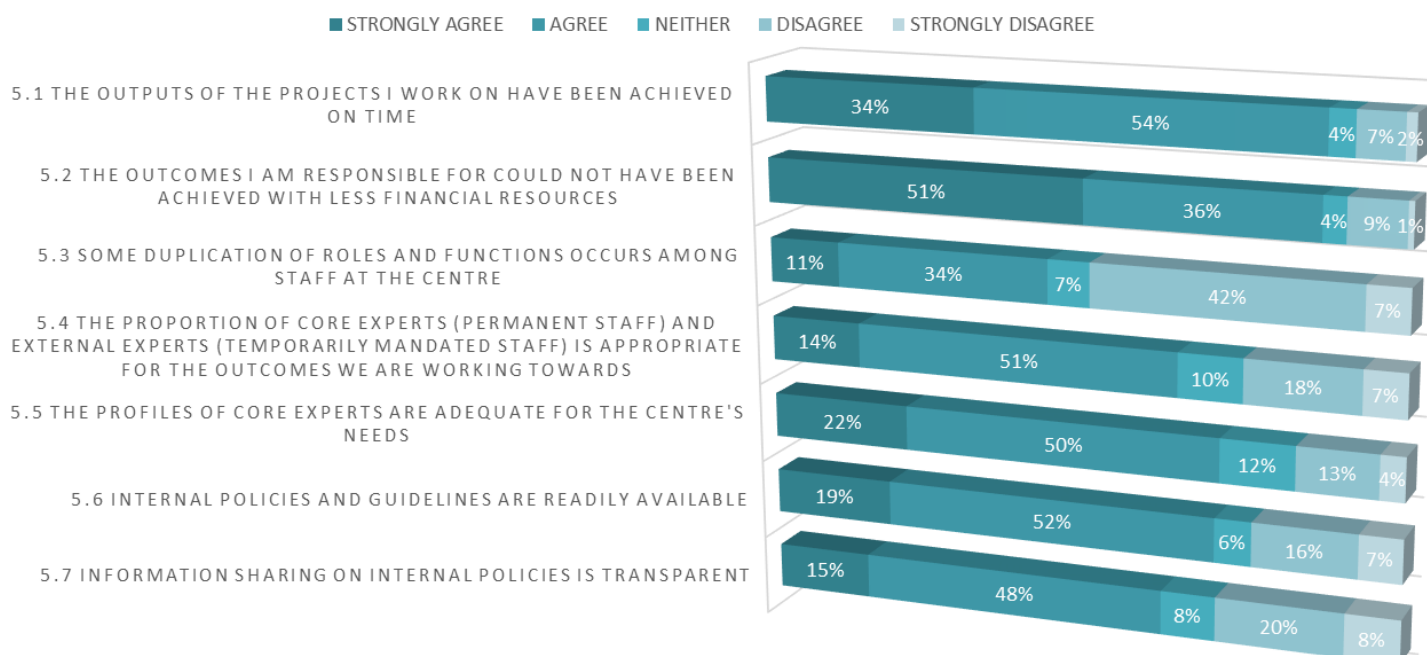
But:

- monitoring is often not as sufficient as would be liked, though we do follow up on results with some regularity. (Who is expected to pay for the time/money to monitor completed projects/outputs?)
- there are no human or financial resources available from the DCAF side for this
- not real feedback on how individual outputs could be used
- sustainability is partial because of staff turnover

Efficiency

- General satisfaction on efficiency, even on information sharing, which is in conflict with the findings above on management effectiveness and internal communications.
- There is general agreement that the proportion of core experts and external experts is appropriate and that the Centre has the internal expertise it needs to deliver its services.
- Clear split of opinions on the question of whether there is a duplication of roles and functions among staff at the Centre.
- Staff are satisfied with efficiency in terms of achieving outcomes with the required resources and in good time.

HOW EFFICIENT IS DCAF?



SWOT questions in the survey

Strengths

- **Staff:** expertise of its staff, committed & dedicated staff; ethnic and cultural diversity; professionalism and impartiality; flexibility; strong network of experts on SSR/SSG (niche); openness; Solidarity among co-workers; Enthusiasm of junior staff; commitment to gender diversity
- **Reputation and Image:** Strong credible identity in our field at international level; Values-based impartial actor that is trusted; trust from local stakeholders; Clear, well known mandate; “Reputation Neutral (non UN, non EU, non political) body dealing with highly politically charged issue (SSR), employing some of the most qualified professionals on the topic.”; An excellent brand name and history of some good work; high international acceptance; strong partnerships with multilateral organisations who trust us and enable us to input into international policy agendas
- **Location:** in Geneva Swiss-based and Swiss-funded; collaboration with other actors working on SSG/SSR are a key strength; Geneva-based foundation facilitates work in a politically most sensitive policy area
- **In the field:** Resources In the field: flexibility and adaptation to stakeholders needs and strong capacity to advise them when necessary.
- **Approach & Strategy:** holistic approach combining research, policy and operations; Diversity in regional and thematic experiences; Strategic focus; strong capacity to adapt quickly to changing environments; transparency; inclusive approach; the linkages between our policy & research work and our operational work; corporate-level RBM process
- **Funding:** generous core funding; high quality donor support; sustainable funding

“DCAF has the resources, the political support, the experience, the access, the contacts, and the international profile to be leading the global conversation of security reform and that's what we should be doing. It's a great shame that we are becoming increasingly irrelevant due to a lack of vision.”

Weaknesses

- **Bureaucracy:** Heavy internal policies; Need to further develop DCAF's central administrative services (HR, finance)
- **HR & Staff:** Lack of in-house experts; career development (especially for junior and interns); HR management; weak support structures (HR and Finance); Lack of Internal and external Experts in SSR & SSG; Patchy progress on commitments to gender; staff harassment cases reported; high staff turnover
- **Image and Relevance:** The name of DCAF causes confusion not helpful; not competitive in comparison with local NGOs (high salaries in Geneva); corporate DNA not fully developed; unclear legal status
- **Management & Internal Communication:** DCAF's leadership does not value transparency; financial management is weak; Inefficient (top-heavy) management; still poor internal communication; unclear organisational structure; lack of communication and coordination between the headquarter office and the regional offices; Lack of cross-dept. coherence; strategic planning

- **Funding:** core funding base is not enough diversified; accountability; Unpredictability of funding; control by Switzerland → politically dependant, lack of autonomy because of Swissness; Dependence on external funding sources
- **Strategy and Approach:** Lack of Innovation; centralization in Geneva; lack of consistency; Too distant, too removed from operational work; Lack of external, independent evaluations of operational programmes to provide empirical evidence of impact; Limited field office presence in some geographic regions

“We need to modernise its policies and procedures in line with the current scope of our operations, we need to be more consistent in how different parts of the house operate, we need to work on the legal personality if we are to maintain us in dealing with the sensitive issue of SSR, as we engage more in fragile states we need to be able to manage these risks.”

Opportunities

- Further engage with actors of the private sector
- In the current context, DCAF is more relevant than ever: there is a growing demand for support
- Collaboration with the GICHD
- Sustaining peace agenda and the 2030 agenda are two powerful frameworks for highlighting the importance of DCAF work
- Working closely with the EU (biggest donor in SSR around the world)
- Explore new topics in SG and innovative trends
- Strengthen cooperation with local partners
- A lot of potential and talents within the staff: needs to invest in it

Threats

- Political instability and fragile context are increasing, corruption
- Lack of local/context knowledge and global south perspective
- Lack of vision, strategy and competence among senior leadership threatens the ability to operate without doing more harm than good, micromanagement and lack of guidelines & policies
- HR practices “unethical and in some cases illegal”, staff turnover
- Cheaper and better equipped competitors – lack of reactivity from DCAF to be competitive
- Emergence of new issues that either are outside of DCAF’s scope or to which it is not able to react; lack of expertise in some cases
- Change in donor focus and priorities / loss of credibility towards them
- Frustration of partners and staff: lack of participatory and transparent approaches

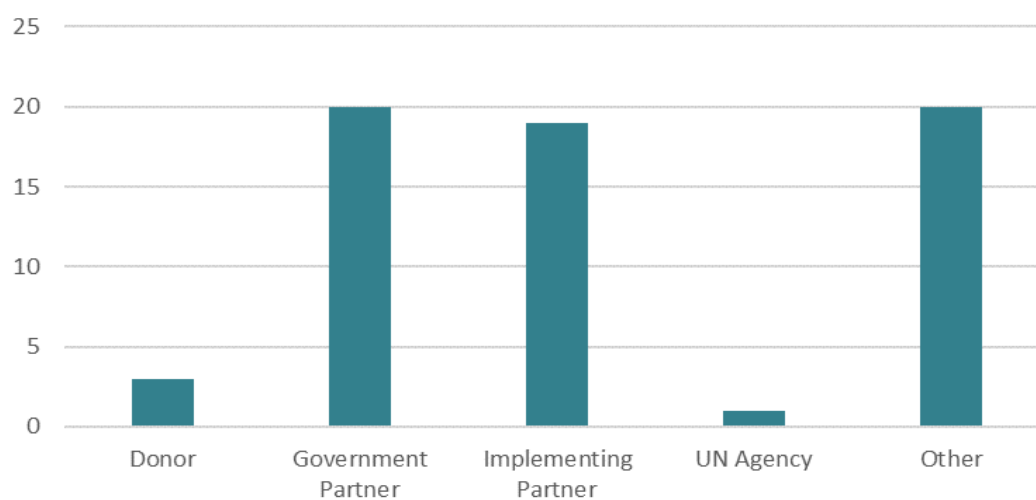
3.2 External Stakeholders Survey Analysis

General information

- The DCAF External Stakeholder Survey was sent to 148 people.

- Response rate was 43%.
- 62% of respondents were male, 38% were female.

WHAT STAKEHOLDER GROUP DO YOU FALL INTO?



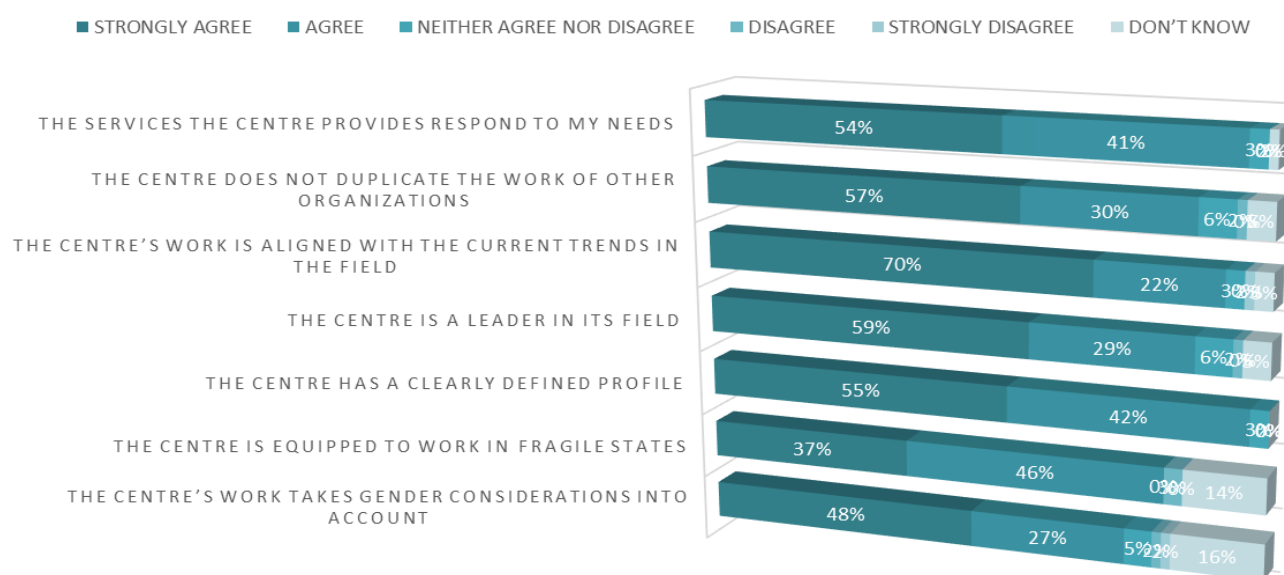
“Other” included:

NGO partner	2
European Union	2
We cooperate on joint projects, for example in Ukraine.	1
International Organization	2
attended DCAF trainings in Myanmar	1
FIIAPP, My Pol	1
Autorité Indépendante Administrative	1
Partner	1
Civil servant	1
Parliament	1
In past donor, now in context relation EU mission	1
Regional organisation (OSCE)	1
legislative institution	1
Founder of all 3, former Director of DCAF and of GCSP	1
Doing different projects related to the Middle East and track 2 diplomacy	1
Staff	1
Chair person of the Foundation Council	1

Relevance

- Stakeholders were globally positive about the continuing relevance of DCAF: for 88% of the respondents, the Centre is a leader in its field, 95% estimate the Center provide response to their needs and 87% think DCAF does not duplicate the work of other organisations.
- There were particularly positive about the Centre's work to integrate gender considerations (75%) and the alignment of its work with current trends in the field (92%).
- 73% of respondents are convinced that the Centre is equipped to work in fragile states.

HOW RELEVANT IS DCAF FROM THE POINT OF VIEW OF STAKEHOLDERS?



Are there any gaps in the scope or geographic coverage of the Centre's work?

On 63 respondents, 52 did not believe that there were any gaps in the scope of DCAF's work. 10 respondents suggested that:

1. The Centre could include more research and studies on:

- SSG in Asian countries and the SSR work of Asian parliaments
- Human rights and especially on torture
- Latin America

2. The Centre should improve:

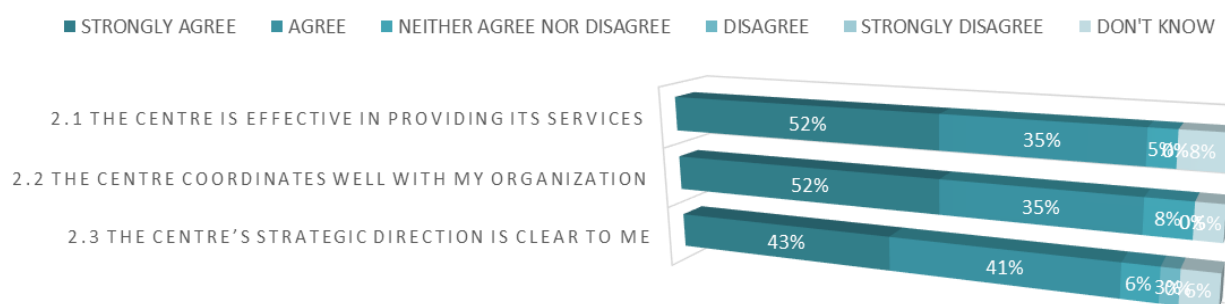
- Coordination between governmental agencies and jurisdiction agencies
- Integration of gender approach not only with general concepts but through a concrete, practical guideline
- Field presence which nowadays limited its credibility towards local communities

- Geographic scope: “the Center is clearly concentrating its work with specific regions/countries”
- Available resources
- Exchanges and peer learning among the regions covered by its operations; exchanges of know-how not only between consolidated democracies (e.g. EU, U.S. etc.) and the rest of world, but also between regions like SEE and Eastern Europe, or SEE and Latin America etc. The work on developments in the EU and Europe should be continued as the democratic control of security institutions is weakening under populist threat and increased securitisation.

Effectiveness

- Stakeholders were positive about DCAF’s effectiveness, agreeing that it has a clear strategic direction (43% strongly agree, 41% agree), that it coordinated well with its partners (52% strongly agree, 35% agree) and that it is effective in providing its services (87%).

HOW EFFECTIVE IS DCAF FROM A STAKEHOLDER'S PERSPECTIVE?



What are DCAF's strengths?

Towards the external partners, DCAF assets are: Listening, respect, availability, responsiveness, communication, flexibility, coordination, neutrality, commitment, dynamism, support. Provide useful resources both human and informational.

“The Centre is very keen to preserve the Partner Government ownership over the partnership.”

Concerning DCAF staff: Trained, qualified and experienced staff, knowledge capture & management (managing donor requirements), roster of excellent expert, well organised and ability to lead.

Concerning DCAF activities:

Its mandate responds to a real need. Willingness. Very high reputation and international visibility.

Unique focus on the topic of accountability and democratic control of whole of security sector (not just traditional security providers, but also governance structures).

Comprehensive coverage of security sector issues; Excellence in topics: private security governance, intelligence governance, gender and SSR; Sound prioritising of the research issues; Clear understanding of the challenges in its area of work.

High quality services: ability to provide both research/ studies and mobilising experts on specific SSR/SSG topics, and ability to provide comprehensive trainings. Preparation for the reforming of laws. Publications. Strong methodology.

Presence & influence in some regions (Western Balkans, MENA), experience in fragile states, implementation on the ground, understanding of local and regional context, access to top level stakeholders, possibility to influence international norms and provides support also to IGOs and different states, broad networks.

“It is one of rare organisation able to work with a variety of traditional and non-traditional actors (besides state officials, also DCAF plays significant role in building capacity and supporting civil society work in SSG, which makes reforms more sustainable). ISSAT and community of practice it nurtures and supports.”

Ethics, Gender and ethnic equality, holistic approach, pragmatism.

What are DCAF's weaknesses?

Coordination, avoid duplication (with UN activities), identify synergies with other NGOs/working in partnership with others (use potential), internal communication.

In the field: focal point in the field, presence and/or research in some countries (Montenegro, Asian), which impacts DCAF's credibility; “linking these studies closers to political realities”; limited impact on local communities.

Trainings: more innovative methods, more training in the field of police integrity (Balkan countries).

Material resources, more financial support by its partners, availability and sustainability of funding (especially for short-term programmes) // “funding dependence”; financial management (the Head of Finances is an Accountant, not a CFO); difficulty to set long-term goals (longer than 6 months) for future activities.

Human resources: not all the experts are on the same level and the support you receive really depends upon which experts work on your project. Some experts unfortunately (and understandably) only have very limited time availabilities; staff turnover; regional representation of staff at HQ; too much emphasis on concepts like RBM.

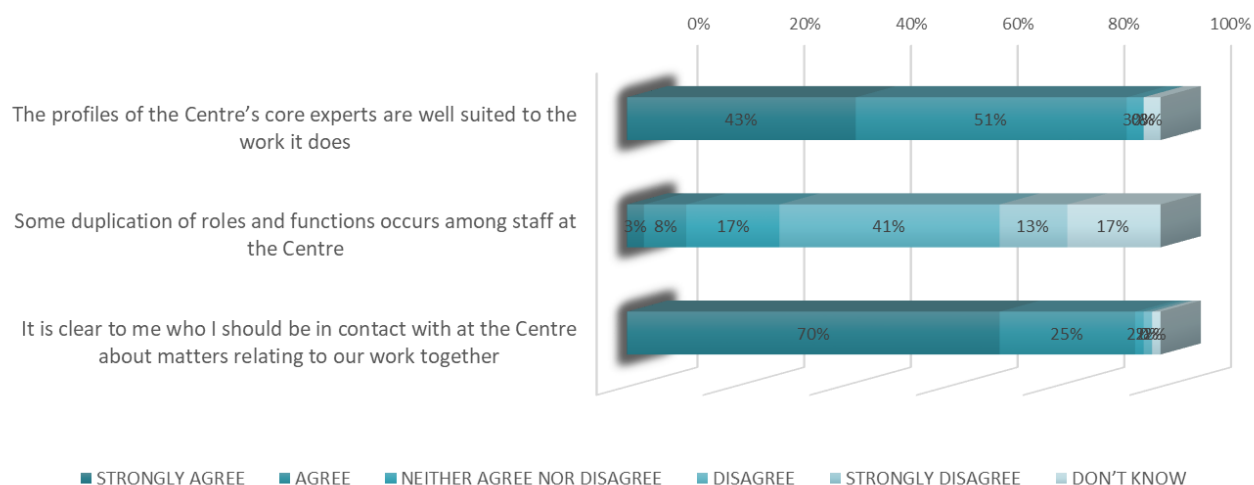
M&E: Clear ToC and ability to monitor and evaluate results? How is impact measured?

Other: bureaucracy, administrative slowness.

Efficiency

- Positive results on efficiency – there does not seem to be much issue with duplication of roles and responsibilities and it appears to be clear to externals who they should be contacting at DCAF to collaborate.

EFFICIENCY



Sustainability

- Do you have any examples from your collaboration with the Centre where an intervention has lead to lasting change?

CSDP working group; Anti-corruption trainings and sharing of the best practices
Interaction on Regional Dialogue Mechanisms; Exchange on Security Sector Reform in a particular country
ISSAT supported the EU in developing its new SSR policy that was adopted in 2016; ISSAT is currently supporting the EU in engage effectively in SSR support in The Gambia. It is too early to see "lasting change" but ISSAT support is relevant and effective; ISSAT is carrying out an assessment of the security sector in some Sahel countries. In doing it ISSAT is also developing an analytical framework that will be used by the EU to prepare an internal guidance on security sector analysis. This is ongoing, so too early to assess results; The capacity of the EU delegation in Guinea Bissau to engage in the security and justice sector was enhanced by ISSAT advice and training.
Work on linkages between mine action and security sector reform, as conceptual underpinning for concrete work in the field; Work on gender & diversity, though this is rather the beginning of a process; Work in Ukraine; Work on RBM for peacebuilding, security and development
Civil society observatories project in Africa - empowering civil society to engage with security providers in a constructive manner; Work with Tullow Oil training police on human rights in Kenya - demonstration of power of private sector partnership
Raising awareness on Police integrity; Capacity building of police integrity trainers; Capacity building of police gender trainers; Adults learning on gender
Introduction of SSR to Philippine civil society leaders who work in peace and security areas; Introduction of SSR to Philippine legislators, some of whom are now proficient in SSR work; Institutionalised training programme with the National Defense College of the Philippines, to conduct yearly workshops; Inter-Parliamentary Forum on Security Sector Governance in Southeast Asia, that has guided a good number of parliamentarians in their oversight work
Trainees continue to do more research; Networking with other countries; Able to discuss related issues
Although as the senior advisor for the crowd management component, I have been called upon for important

discussions of the centre since 2014 till up to date
The DCAF's publications translated into local language have stimulated local CSOs to strengthen the civic oversight over security sector; publication on security sector reform has led to launching some new parliamentary oversight functions over security sector; recommendations provided during the national workshop were taken into consideration when local military reform was launched
Integration of human rights aspects in standard curriculum; promotion of gender equality in development career
IPF-SSG: network of multi-stakeholders in Asia; informal network of multi-stakeholders in Thailand; commitment of some participants in Thailand to SSR/SSG; information provided still used/circulated to new generation
Multi stakeholder's perspective; Participatory approach; Decentralised perspective; Innovative orientation
Elaborating SSR/SSG guidelines for the executive structures of the OSCE; Policy advice to the UN contributing to a state-of-the-art approach to SSR/SSG; Policy advice to the Slovak Republic shaping its SSR/SSG policy over more than a decade
DCAF's representations have led at least one donor government - potentially followed soon by others - to understand the relevance of creating a funding mechanism to support field implementation activities in the field of business and security challenges
Broder Security Programme to WB counties visa liberalisation; Input to the changes of the WB countries legislation; Border security - Training programmes; Cross border police cooperation in the WB region
Projects to train police officers about integrity; gender; integrity; Trainings of trainers
In Ukraine, DCAF was the key promoter of the adoption of democratic control legislation. DCAF continues to have the strong influence on improving the mechanisms of parliamentary control in Ukraine; Cooperation with DCAF played a key role in promotion of individual expertise in the area of democratic control for the number of civilian leaders in Bulgaria, Ukraine, Georgia; DCAF via research and best practices promotion has made a very important contribution to establishing an informed and well educated public discussion in Central and Eastern Europe in several areas like defence planning, defence procurement and fighting corruption in defence; DCAF projects facilitating the launch of the radical reforms in the former communist countries related to the issues of parliamentary control over intelligence, gender issues, etc.
Facilitating the establishment and functionality of the Parliamentary Committee on Security of the Kosovo Assembly; Drafting Strategic Environment Review and Security Threats Assessment Chapters of the Internal Security Sector Review of Kosovo
Project "Intelegencia" changed the opinion in good way on the importance of openness and transparency of counter and intelligence, the need to regulate their work for a strong guarantee of the protection and respect of human right, and most importantly this project has developed a strong debate and raising the awareness of NGO's and citizen not allowing the Gov along to take decision without inclusiveness of all stakeholders. This project helped in Macedonia to develop and embrace democracy
Support to fragile states, especially in Africa (Sahel region)
Community safety project; Gender and Civil peace project; Reform in the Palestinian security sector (including the concept of democracy and human rights in their work)
Monitoring of military units in Tajikistan; Ombudsman's apparatus capacity building; ICOAFs; Translation into Tajik and publication of DCAF materials
Cooperation in training north African journalists on SSR and arms control issues
Organising the Inter-Parliamentary Forum on Security Sector Governance in Southeast Asia (IPF-SSG); the security sector governance study group in the Philippines; annual session with the National Defense College of

the Philippines; SSR related activities in Thailand, Cambodia and Myanmar

- Establishing Civilian Border Control (IBM) in the Western Balkans; Gender and the development of a set of praxis oriented tool kits in this area; PMSC and the setting up of the Montreux Process; Assistance to the UN, the EU, the OSCE, ECOWAS and the AU in shaping their SSG/SSR strategies

What were the factors that supported this sustainability?

- **DCAF staff and Human resources:** Commitment and Follow-Up; SSR knowledge and expertise; quality of methodological work; Diplomatic attitude; dialogue and consensus; Cultural sensitivity
- **Approach:** Openness; Continuity; comprehensive approach; responsiveness, flexibility and capacity to engage with national actors, are expected to lead to sustainability; Focus on national ownership and empowerment; Focus on change in behavior/reflexes of participants, follow-up; Ability to "see the big picture" in terms of shared objectives; Multidisciplinary approach; First institution to seriously look at gender in an SSG/SSR context
- **In the field:** Close collaboration with the partner; experience sharing; understanding of the national context; cooperation; regular platforms for discussion (conference, workshop); Center keeps contact and engage civil society organisations and experts which makes any initiative sustainable and long lasting
- **Image and Reputation:** credibility; Networking; relevance for security issues; leadership in the field; neutrality and transparency
- **Trainings:** Capacity building of police in-house trainers; Motivation of trained trainers; Pedagogy; distribution of materials (training manual on police integrity) that can be used even after the training; publications
- **Financial resources:** support of local and regional partners

Additional comments

- Representation offices should be opened in the field.
- ISSAT is an extremely valuable partner for the EU, both in the development of methodological tools and on operational support. ISSAT is also very valuable for its capacity to connect different international actors (UN, World Bank, AU and some relevant bilateral) active in SSR support.
- The cooperation with DCAF is growing and has not reached its full potential, but looks promising.
- DCAF fills a gap in the market. It can coordinate both funding and activity on the ground, taking the lead directly where needed, but working with partners where more impactful/practical.
- It would be good for DCAF to get support from more varied sources so that good programmes can be sustained. While government support is important (and could be sustainable), support for the continued inclusion of civil society organisations should be sustained. SSR dialogues can bring about concrete results when both government and non-government voices are balanced.
- Regarding parliamentary oversight of the security sector, the centre should reach to all parliamentarians in the country as well as security sectors, so that everyone in the country can aim for the same vision for democratic change.
- The DCAF should be further supported by the Swiss government and other donors as it is one of the few organisations in Europe and the world working on security sector reform.

- This programme is lousy. I have been involved with all three institutes and the form did not inform what I am evaluating. All comments here are for GCSP but professionally I was involved with DCAF and GICHD and board member of GICHD.
- The team we work with is 100% dedicated to fulfilling the objectives of the project
- DCAF's Police Integrity Building Program (PIBP), has supported PIK in achieving its mission. Police Integrity can only be addressed efficiently and effectively if all state and non-state actors, as well as civil society, oversight institutions and international assistance providers, work together towards the common goal—maintain police service that functions with integrity.
- My previous experience with colleges from DCAF is very positive. Except their professional obligation to provide services, they have personal obligation to give support. Besides their experience, they have knowledge to pass their experience to the others. Collaboration with DCAF has been useful for the institution where I work and for me personal.
- DCAF plays the leading role in supporting parliaments, governments, institutions and think tanks in the issues of democratic control. In case DCAF is successful to find additional resources, certain educational programmes for younger generation of the future security sector experts and practitioners (in the universities) could be launched...
- DCAF should continue its work and develop it more, to have long-term programmes and to have an annual evaluation of the Foundation's programmes.
- It is desirable for the Center to widen and intensify its activities in Georgia, it is a small country, with the limited resources and weak institutional capacity, and it is not so difficult to make positive change.
- DCAF has been very helpful and successful in mainstreaming the security sector governance and security sector reform discourse in Southeast Asia. Its success could be attributed to its intellectual rigour, focus, cultural sensitivity, passion and high level of professionalism of its personnel. DCAF always made a follow through of its initiatives and maintain regular contact with stakeholders in the region.

Appendix X List of shared ICT services

SERVICE NAME	APPLICATION/SOFTWARE NAME	GCSP	GICHD	DCAF	COMMENTS
Email & email Archiving	Microsoft Exchange / Enterprise Vault	x	x	x	
Unified communications	Microsoft Lync	x	x	x	
Enterprise Resource Planning	Microsoft Dynamics	x	x	x	One shared database NAV 2009 until end of 2017 / three separate databases NAV 2017 since January 2018. Identical application, Ms Dynamics NAV 2017
Salary management	Swiss Salary	x		x	GICHD outsource salary preparation to FER CIAM
Reporting tool	Jet Reports		x	x	GCSP use standard reporting tools of Microsoft Dynamics
Business Intelligence analysis reporting	Tableau		x		
Absences management	Nintex Workflow integrated in SharePoint		x	x	
Absences management	Figgo (cloud based)	x			
Corporate Social Network	Microsoft SharePoint		x	x	One COMMON server until end of 2017 / separate servers previous for 2018
Corporate Social Network	Intranet - MyHub (cloud based)	x			
Customer Relationship Management	SalesForce	x			
Information Management tools	IM System for Mine Action & MINT		x		
Office tools	Microsoft Office	x	x	x	
Operating System	Windows	x	x	x	
Internet & remote access	Internet Service Provider / VPN access tools	x	x	x	

SERVICE NAME	APPLICATION/SOFTWARE NAME	GCSP	GICHD	DCAF	COMMENTS
Security	BitDefender / Mail gateways / Firewalls	x	x	x	
Multimedia devices	Flat screens (Touch) / Clickshare	x	x	x	
Hardware Infrastructure	Datacenter / servers / backup / Local Area Network / WIFI	x	x	x	
Multifunction Printers/copiers	RICOH	x	x		DCAF has its own contract with RICOH and does not benefit from the discount negotiated by GCSP
IT Human Resources	The GCSP IT team	x	x	x	
Security Access to the building	KABA Badges	x	x	x	
Security Access to the offices	KABA Badges	x			DCAF and GICHD use keys to open their offices

Source: analysis received from ICT Department, GCSP

Appendix XI Example list of joint activities

The table below provides an overview of joint projects completed in 2016 by the Geneva Centres, or by the Geneva Centres and other partners from the Maison de la Paix. The projects are grouped according to the four work streams outlined in the document "*Maison de la Paix: Multiplying impact for the benefit of peace, security and sustainable development*". Partners are listed in alphabetical order. The figures below are unaudited but provided in good faith reflecting the situation as known on 1 February 2017.

Work stream I. Assisting partner countries in the implementation of the SDGs, in particular SDG 16

MdP SDG Hub	CHF 40'000	DCAF, GCSP, GICHD, Interpeace, IPTI, JRR, SAS
Gender and diversity in peace and security	CHF 38'462	DCAF, GCSP, GICHD, GMAP, SAS
Global health and security	CHF 174'400	DCAF, IHEID
Sustainable Development Goals and mine action	CHF 21'756	DCAF, GCSP, GICHD, SAS, IPTI
Executive course for Myanmar on International relations, governance and public participation	CHF 35'200	DCAF, GCSP

Work stream II. Improving results-based management and other methodological approaches relevant to peacebuilding, security and sustainable development

Geneva Peacebuilding Platform	CHF 80'000	CCDP, IHEID, GCSP, Interpeace, QUNO
International training workshops on Results-Based Management for Peacebuilding, Security and Development	CHF 83'285	DCAF, GCSP, GICHD, SAS

Work stream III. Supporting partners who face multiple risks from conventional weapons

Certification of implementers on the International Ammunition Technical Guidelines	CHF 53'032	GICHD, SAS, UNODA
Analysis of conventional weapon-related threats to civilians	CHF 45'680	GICHD, SAS
Building capacities for the effective implementation of the Arms Trade Treaty	CHF 60'600	CCDP, IHEID, GCSP, SAS, UNIDIR
Security Sector Reform and mine action: Integrated support to the establishment of mine action institutions and legislation in Ukraine	CHF 29'089	DCAF, GICHD
International Workshop on the Safe and Secure Management of Ammunition	CHF 33'258	GICHD, SAS

Work stream IV. Defining responses to new security threats and the challenge of threat convergence

International Security Forum (ISF) 2016	CHF 65'924	CSS, DCAF, GCSP, GICHD, IHEID, and others
PfP cooperation	CHF 20'000	GCSP, DCAF
Public discussions, executive conversations, Geneva security debates, cooperation on training and research	CHF 103'797	DCAF, GCSP, GICHD, IHEID, Interpeace and others
Leadership development in international affairs and nurturing a community of global peace and security leaders	CHF 733'800	CLL, GCSP
Private security governance: Montreux Document process, Voluntary Principles on Security and Human Rights, International Code of Conduct for private security providers	CHF 70'180	DCAF, ICoCA, ICRC
Internet governance and cybersecurity	CHF 70'000	DCAF, DiploFoundation, GCSP, GIP, UNOG
Cyber 9/12 student challenge	CHF 27'500	GCSP, Atlantic Council
History and Policy-Making Initiative	CHF 47'600	GCSP, IHEID
Peace and Security Initiative	CHF 2'662	DCAF, GCSP, GICHD, IHEID, SAS, and others

Miscellaneous

Advancing philanthropy in Switzerland and building capacity of the local non-for-profit community, by setting up a fundraising information centre at the Maison de la Paix	CHF 70'000	GCSP, Foundation Center
Use of Geographic Information Systems (GIS) for Peace	CHF 195'026	GICHD, Interpeace
Bâtisseurs de Paix video competition for secondary schools	CHF 77'138	DCAF, GCSP, GICHD, IHEID
Maison de la paix website	CHF 38'123	DCAF, GCSP, GICHD, IHEID
Other	-CHF 18'625	Misc adjustments
Estimate annual (2016) expenditure of the three Geneva Centres on joint Maison de la Paix projects	CHF 2'145'487	
Target annual expenditure as per the Framework agreement	CHF 1'400'000	

DP	Centre on Conflict, Development and Peacebuilding
CLL	Centre for Creative Leadership
CSS	Centre for Security Studies at the Swiss Federal Institute of Technology, Zurich
DCAF	Geneva Centre for the Democratic Control of Armed Forces
GCSP	Geneva Centre for Security Policy
GICHD	Geneva International Centre for Humanitarian Demining
GIP	Geneva Internet Platform
GMAP	Gender and Mine Action Programme

ICoCA	International Code of Conduct for Private Security Providers' Association
ICRC	International Committee of the Red Cross
IHEID	Graduate Institute of International and Development Studies
IPTI	Inclusive Peace and Transition Initiative
JRR	Justice Rapid Response
SAS	Small Arms Survey
QUNO	Quaker United Nations Office
UNIDIR	United Nations Institute for Disarmament Research
UNODA	United Nations Office for Disarmament Affairs
UNOG	United Nations Office at Geneva

A similar list is available for 2017, although the final amount totals at CHF 1,765,378.