African Union Commission
Peace and Security Department

Ref.

Operational Guidance Note

Guidance Note on Gender and Security Sector Reform

Approved by:
Date of approval:
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Review date:

AU OPERATIONAL GUIDANCE NOTE ON GENDER AND SECURITY SECTOR REFORM[1]

CONTENTS

A. PURPOSE AND SCOPE[2]

1. This Operational Guidance Note (OGN) provides the African Union (AU) and its Member States a guide on the process and content for developing and undertaking actions on a range of gender and security sector reform (SSR) initiatives.

2. This guidance note applies to all staff within the African Union Commission (AUC) and in Regional Economic Communities (RECs) with responsibilities for supporting national SSR efforts, as well as African Union Peacekeeping Operations and Special Political Missions, including Heads of Missions, deputies, representatives and their delegates, Force Commanders or their consultants and partner organizations. It is also applicable to national SSR actors in AU Member States.

3. This guidance note is best utilised with its annexures that provide: i) a justification for gender and SSR, ii) the normative frameworks for gender, women, peace and security, and iii) concrete examples of gender and SSR interventions, including good practices.

4. This guidance note compliments existing area specific OGNs developed by the African Union and other institutions. These include guidance notes on gender and peacekeeping operations as well as guidance notes on gender and disarmament, demobilisation and re-integration to name a few.

5. This OGN should be used to develop technical instruments such as toolkits to assist the adaptation and operationalization of each aspect suggested here. There are

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[1]This OGN was developed by Awino Okech (Independent Consultant/ASSN) and Cheryl Hendricks (University of Johannesburg/ASSN), with the advice and support of Ecoma Alaga (United Nations: Office of the Special Adviser on Africa). The African Union Commission and the African Security Sector Network would like to express their gratitude for their efforts.

[2]This guidance note draws from similar instruments particularly the United Nations Security Sector Reform Integrated Technical Guidance Notes (2012). The authors considered this necessary to avoid duplication whilst paying attention to context specific realities.

toolkits on gender and SSR developed by international and regional organisations that would serve as a useful starting point for the development of local variations.[3]

B.   RATIONALE

6.   The AU Policy Framework on SSR specifies that SSR processes will include women-specific activities, gender awareness and responsive programming with the aim of bringing about transformative possibilities for gender equity within the security sector[4].

7.   Equally, the AU SSR Policy Framework reflects the significant number of international, regional and sub-regional normative frameworks on gender, women, peace and security, thereby emphasizing the mutually reinforcing relationship between rule of law and human rights. Rule of law implies that the state and its institutions are subject, and accountable to the law, and are not above the law. The rule of law is a vital component to ensuring that state security institutions are accountable and responsive to democratic oversight, and have the capacity to be both sensitive and responsive to the security needs of all members of the community (see annexures for relevant frameworks).[5]

8.   Gender and SSR initiatives must therefore be based on, and supported by institutional frameworks that rely on agreed standards for the rule of law and human rights, and the establishment of internal and external oversight mechanisms to enforce those standards. This note therefore offers guidance on how to increase the security sector's knowledge of and responsiveness to the rights, perspectives and needs of women and girls that are often missing from security discussions. In so doing, security institutions will be guided by the rule of law and respect for human rights.

9.   The AU SSR Policy Framework calls on Member States to undertake SSR as part of a broader process of democratisation. Democratic control requires the effective functioning of oversight mechanisms for security sector institutions, so that no one arm of government or part of society is solely responsible for oversight and control.[6] Democratic control of the armed forces will ensure that women in particular participate in defining security needs, playing robust roles in security decision-making and oversight to ensure effective responses to security and justice provisioning.

10.   This OGN calls for the implementation of gender sensitive and gender responsive SSR. Gender sensitivity refers to consistent awareness of the different needs and experiences of women and men and factoring this into legislation, policies and programmes. Gender responsiveness focuses on concrete actions to address the root causes of persistent gender inequalities. Gender responsive SSR will therefore work towards changing the dominant patriarchal culture, thus addressing the unequal power relations between women and men common in both state and non-state security sector institutions.

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[3] See for instance DCAF's (2008) toolkit on *Gender and Security Sector Reform*
[4] African Union Policy Framework on Security Sector Reform, 2011, pg. 11
[5] See African Union Operational Guidance Notes on Codes of Conduct
[6] See African Union Operational Guidance Notes on Codes of Conduct

11.	SSR programmes that tackle the socio-cultural values and institutions which perpetuate cycles of violence in households and communities will assist in addressing the continuum of violence that women and girls, as well as men and boys, experience prior to, during and after conflict, as well as the often underutilized role of women and girls in peace and reconciliation.

12.	This OGN will therefore assist in the institutionalisation of gender and women's perspectives in AU programmes that support national SSR processes as well as ensure the sustainability and relevance of AU assistance to SSR by focusing on specific actions member states and those supporting national SSR programmes should take to promote gender-responsive SSR. These actions fall into two categories: the first is at the strategic level, which comprises ownership, legislation, policies and rules governing the security sector and its reform; the second category is at the operational level, and comprises concrete implementable steps to reform structures, practices and operating procedures.

## C.	TERMS AND DEFINITIONS

The following terms and definitions apply to this Operational Guidance Note:

1.	*African ownership* – of security sector reform processes includes ownership by local communities, national ownership by Member States, regional ownership by the Regional Economic Communities and Regional Mechanisms and continental ownership by the African Union.

2.	*The African Union* – includes, for the purposes of security sector reform, the Assembly, the Peace and Security Council, the African Union Commission and all other relevant organs of the African Union.

3.	*Armed forces* – the military forces of a state, usually one or a combination of an army, navy and air force, and paramilitary forces. These forces are ordinarily mandated to defend a sovereign state from threats emanating from foreign or internal conflicts.

4.	*Civil society* – refers to civil society organisations as defined in article 3 of the Statutes of the Economic, Social and Cultural Council of the African Union (ECOSOCC).

5.	*Gender* - refers to the social attributes and opportunities associated with being male and female and the relationships between women, girls, men and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and learned through socialization processes. They are context- and time-specific and changeable. Gender determines what is expected, permitted and/or valued in women, girls, men and boys in a given context. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, and decision-making opportunities. Gender is part of the broader socio-cultural

identities that stratify societies. Other important criteria for socio-cultural analysis include, for example, class, race, religion, poverty level, ethnic group and age.

6. *Gender Based Violence* - The term "gender-based violence" is used to distinguish common violence from violence that is directed against individuals or groups of individuals on the basis of their gender or sex. It includes acts that inflict physical, psychological or sexual harm or suffering, threats of such acts, coercion and other deprivations of liberty. While women, men and boys and girls can be victims of gender-based violence, women and girls are the principal victims.

7. *Gender mainstreaming* - The process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally and inequality is not perpetuated . The ultimate goal of gender mainstreaming is to achieve gender equality.

8. *Gender Responsive Policies -* A gender responsive approach addresses the specific gender dynamics and social and cultural reference points that prescribe the roles of men and women in any given society. This requires socio-cultural research and analysis to understand what the norms and expectations are for men and women in any given context and how this might affect the programme, so that interventions can be designed accordingly.

9. *Law enforcement agencies* – agencies of the state that are mandated to uphold and enforce the law. These include the police, gendarmerie, institutions in charge of finding and using intelligence to preserve state security, prison services, presidential guards, anti-terrorist units, border management, customs and immigration authorities.

10. *Non-state security actors* – these include private security companies (PSCs), rebel groups, traditional leaders, clan elders, NGO's engaged in the security sector, or other non-state actors, "as may be decided by each Member State"[7]. It does *not*, however, include mercenaries, as defined by clause 7 of the AU Policy Framework on Security Sector Reform, or private military companies.

11. *Security is* a multi-dimensional concept, which encompasses both the traditional state-centric notion of the survival of the state and its protection from external aggression by military means, as well as the non-military notion of human security based on political, economic, social and environmental imperatives, rule of law, and human rights.

12. *Security (and justice) sector* – comprises the individuals, groups and institutions responsible for the provision, management and oversight of security for the state and population, and for the delivery of justice services. These include but are not limited to primary security institutions (such as the armed forces, the police, the gendarmerie, and border guards), specialised intelligence and security institutions, public oversight

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[7] See AU Policy Framework on SSR, Paragraph 4f

and management bodies (such as the executive, the legislature, national security advisory bodies and), justice and rule of law institutions (such as the judiciary, prisons, offices of the public prosecutor, ombudspersons, anti-corruption bodies and human rights commissions), civil emergency units (such as search and rescue services, fire fighting, and natural disaster management), and non-state security and justice bodies (such as private security companies, informal security providers, customary authorities and traditional justice systems).

13. *Security sector reform* is a process by which countries formulate, re-orient or develop the policies, structures and capacities of institutions and groups engaged in the security sector, in order to make them more effective, efficient and responsive to democratic control, and to allow them to better respond to the security and justice challenges confronting the state and its people. Depending on the context and focus, SSR is sometimes expressed as security sector governance, security sector transformation, security sector development, security sector review, as well as security and justice reform.

14. *Rule of law* refers to a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights and humanitarian norms and standards. It requires measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.

D.   OPERATIONAL GUIDANCE ON GENDER AND SSR

This operational guidance note gives recommendations about the approaches that can be used to initiate and implement gender and SSR processes, namely:

1. Building national consensus and ownership on gender and SSR (D.1)

2. Facilitating and promoting equal opportunity and access (D. 2)

3. Facilitating implementation and building capacity (D. 3)

4. Prevention and protection (D.4)
5. Monitoring and assessment (D.5)

D.1   BUILDING NATIONAL CONSENSUS AND OWNERSHIP ON GENDER AND SSR

Building national consensus and ownership of SSR processes is key to the relevance and sustainability of SSR programmes. These processes must include both the recipients and providers of security services. Fragile, conflict and post-conflict situations affect women, girls, men and boys in different ways. SSR interventions should therefore be analyzed from a

gender perspective and tailored to meet the varying needs that arise from different experiences. States should also ensure leadership, authority, commitment, responsibility and accountability for developing and implementing SSR programmes that are gender sensitive. It is through building ownership and national consensus that a country coheres around a common vision for SSR in which gender is both central and mainstreamed.

The lack of national consensus and ownership on gender and SSR will entrench security institutions that are discriminatory, unrepresentative of the communities that they purport to serve (women in particular), and unresponsive to gender issues. This not only undermines the ability of the security sector to effectively address and respond to the safety and security needs of women, men, girls and boys; it also constraints the ability to comprehend the full spectrum of security needs of the state and its citizens, and thereby diminishes accountability and professionalism in service delivery.

Besides, the process of integrating gender into SSR can in turn provide a valuable opportunity for encouraging dialogue, collaboration and integrated approaches to SSR for all stakeholders, including representatives of various government departments and legislatures; the local security sector; women's organisations; political parties; universities, research institutions and other think-tanks; civil society and representatives of youth organisations; customary and traditional organisations; the local business community and financial institutions; labour unions and other professional groups; faith-based organisations, and the local media.

Strategic interventions:

> **National needs assessments** offer a good entry point for identifying a set of concrete areas for development of the security sector. These concrete areas shape the parameters of what a common vision on SSR would be as well as inform ownership. Needs assessments are also critical exercises in building consensus and fostering participation and ownership. It is imperative that gender related concerns are captured in these national needs assessments. Among others, this will entail ensuring gender expertise is part of the terms of reference for the assessors, and including an explicit focus or requirement on gender in all stages of the assessment process.
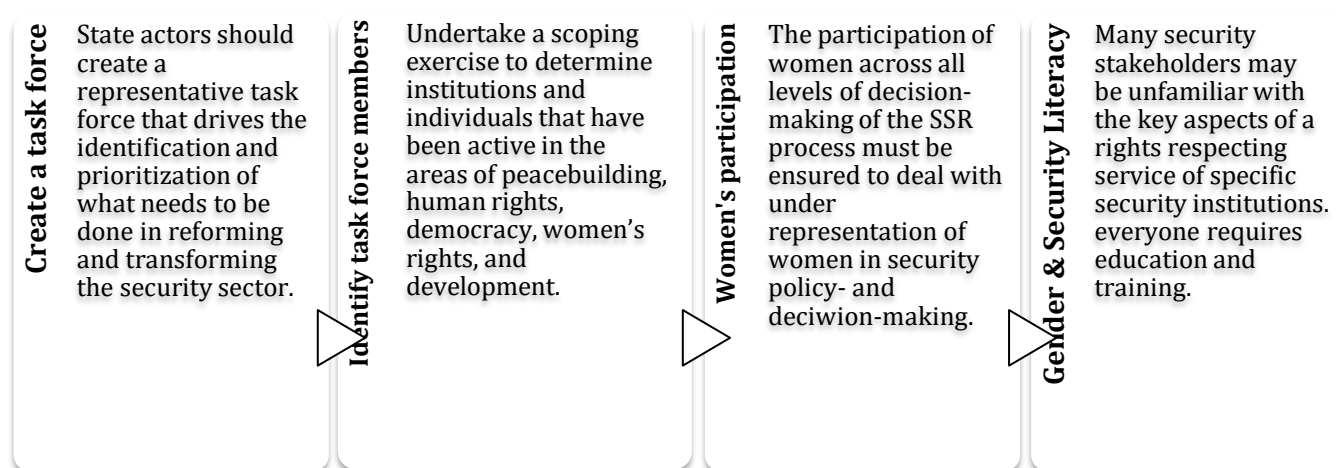
Operational interventions:

> **Conducting a needs assessment**: Needs assessments should identify the challenges that are faced by the population at large and the security sector in particular. In post-conflict countries needs assessments should identify the consequences of conflict or war and measures to prevent the renewed outbreak of violence. All needs assessments for SSR should identify short and medium-term priorities, as well as develop an overall and long-term vision or goal.
>
> > **Step 1**: Initiate a representative taskforce that will lead the national needs assessment process. Stakeholder involvement from the very beginning is key to creating a legitimate, accountable and effective security sector and increases the trust in SSR. The task force could also be mandated to spearhead the implementation of the findings from the needs assessment

and/or undertake oversight of the implementation process. **Note**: In terms of formal organisation, many civil society organisations do not bear the label "peace and security". This necessitates wide ranging consultations to identify those civil society and community-based organisations (in particular women's groups), that can (and should) participate in the assessments.

Diagram 1: Composing a taskforce:

Create a task force	Identify task force members	Women's participation	Gender & Security Literacy
State actors should create a representative task force that drives the identification and prioritization of what needs to be done in reforming and transforming the security sector.	Undertake a scoping exercise to determine institutions and individuals that have been active in the areas of peacebuilding, human rights, democracy, women's rights, and development.	The participation of women across all levels of decision-making of the SSR process must be ensured to deal with under representation of women in security policy- and deciwion-making.	Many security stakeholders may be unfamiliar with the key aspects of a rights respecting service of specific security institutions. everyone requires education and training.

i. **Step 2**: Develop tools which would include questionnaires, interview guidelines, workshop notes, community theatre that will help initiate a broad-based but low cost consultation with communities about their security and justice needs

ii. **Step 3**: These tools should be developed in multiple languages and take into account different levels of education to ensure accessibility.
Note: where literacy levels are low, visual tools should be adopted and community discussion groups held to create an informal, safe and open environment for dialogue.

iii. **Step 4:** Ensure that needs assessment tools and surveys capture an appreciation of the different security needs of women and girls and marginalized men and boys.

iv. **Step 5:** Identify different venues to ensure that the national needs assessment exercise is as broad based and inclusive as possible. Needs assessment exercises should not be restricted to hotels and convention centres. The venues should be diverse - from local community centres to markets in rural and urban areas where women and men gather on a daily basis and which will not interfere with their daily economic and social activities.
Note: Diversifying approaches to needs assessment implementation will ensure that all stakeholders are represented and consulted.

v. **Step 6:** In deciding on venues and methods of engagement, pay attention to the logistical barriers that prevent the voices of women, girls and marginalized

men and boys from being heard and taken into account. Logistical barriers include meeting venue and time. There are periods of the day when women would be busy with business, farming and household activities, which they would prioritise because they are important to their livelihoods. Hold meetings at times and places that are convenient and accessible for women, girls and marginalized men and boys.

Example:
Hold some consultations at market places, which would make it easy for traders to monitor their wares while participating. Hold meetings for local women farmers in the afternoon after they have completed their farming tasks.
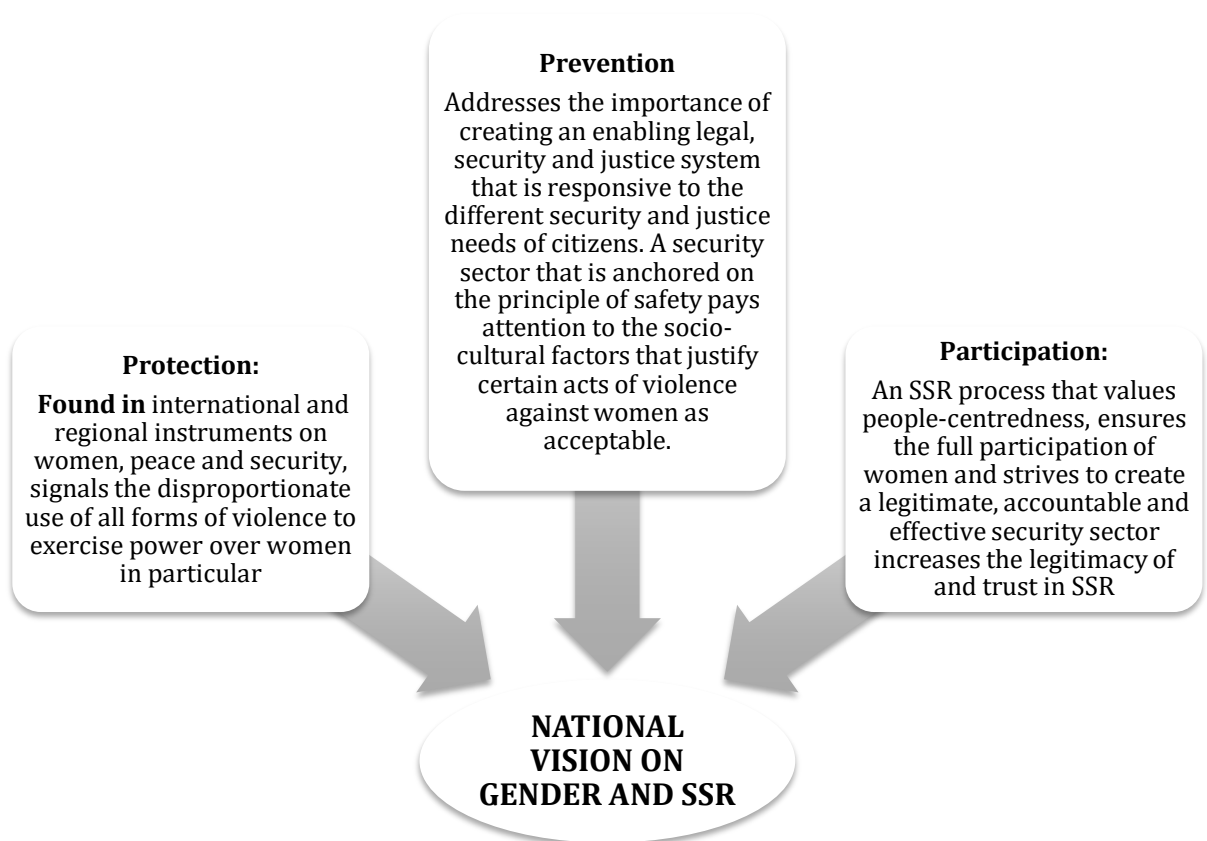
vi.   **Step 7:** Adopt methods of consultation that allow for easy communication and dialogue. This means paying attention to cultural barriers that hinder the effective participation of women in public meetings. This would require that the needs assessment taskforce identifies facilitators that are trusted and well versed in public and community dialogues across societal class divides. For instance, in communities where the local chief is feared, they may not be the best person to lead the community consultation. It is important to hold separate consultations with women and men in addition to joint consultations. Research has shown that men tend to dominate public discussions especially those on development and politics. Where social-cultural gender barriers are strong women will not speak or be heard. In addition, women may be uncomfortable raising specific security issues in public such as rape, harassment of traders or corruption by security officials who may be present. During joint consultations, the facilitators should ensure that all voices are heard equally and adequate time is allocated for the exercise.

Example:
In Country W, although women were on the committee and were invited to speak at the talks on the committee itself only 5 of the 23 members were women. At the final peace agreement conference of the 145 attendees only 27 were women. The two women who were part of the consultation process were given five minutes to present women's issues. When questions were asked, the chiefs responded on their behalf. At a grassroots level, women were not involved in the peace process they were informed that; "peace had come"

vii.   **Step 8: Focus areas in gender and SSR national assessments:** Address the areas that have informed women's exclusion and hindered women's participation in security sector institutions and SSR processes.

Diagram 2:   Areas to emphasize in National Gender and SSR Needs Assessments

Protection:

Found in international and regional instruments on women, peace and security, signals the disproportionate use of all forms of violence to exercise power over women in particular

Prevention

Addresses the importance of creating an enabling legal, security and justice system that is responsive to the different security and justice needs of citizens. A security sector that is anchored on the principle of safety pays attention to the socio-cultural factors that justify certain acts of violence against women as acceptable.

Participation:

An SSR process that values people-centredness, ensures the full participation of women and strives to create a legitimate, accountable and effective security sector increases the legitimacy of and trust in SSR

NATIONAL VISION ON GENDER AND SSR

Sample questions for community needs assessment:

1. What are the security needs of women and men in this community?

2. What are the factors that contribute to the security challenges identified above?

3. Are the responses from the security sector adequate in dealing with these needs?

4. Are there community responses for the security challenges identified in 1 above? How effective are they?

5. What aspects of existing state and non-state security structures enhance insecurity for women and men? What measures can be taken to change the situation?

6. Are women and men able to influence and participate in the political and technical processes on SSR? How effective is their participation and how can this be improved?

Note: If women are absent and their needs and interests not articulated at this stage, difficulties emerge when they begin to assert the right to the development of gender

responsive SSR policies and programmes. Always keep context and cultural factors in mind to ensure, inclusive, holistic and innovative responses are developed.[8]

D.2   FACILITATING EQUAL OPPORTUNITY AND INCLUSION IN SECURITY SECTOR INSTITUTIONS

Participation and equal opportunity are key values that underpin SSR. The AU SSR Policy Framework calls for the management of the security sector in a manner that is "consistent with democratic norms and sound principles of good governance."[9] These norms and principles are designed to create representative, legitimate, rights-respecting, people-centred, accountable, efficient and effective security and justice institutions and processes. Gender representation, gender sensitivity and gender responsiveness are necessary components for the accomplishment of successful democratisation of the security sector.

The security sector is still male-dominated. This sector is however not excluded from the international and continental goal of achieving equitable gender representation. The inclusion of women is also not an end in itself. The purpose is to optimise the potential of over fifty percent of the often underutilised human capital of any given Member State as well as transform the security sector so that it better reflects and responds to the needs of the society as a whole. To effectively address skewed representation, special (affirmative) measures have to be introduced in order to include women and create equal opportunities for them in this sector.

The inclusion of women in the security sector should be viewed in broad terms, and should not be limited to placing women in uniform (usually in the lower ranks of the various institutions). Women also need to be represented in security related decision-making and oversight structures, as it is here that they can best make an impact on gender sensitive security provisioning.

Three strategic interventions are useful in this regard:

Strategic Interventions

1. **Legal and policy frameworks:** guide the implementation of SSR processes. The development of legal and policy frameworks, much like the development of the Constitution, provides an opportunity for inclusive national discussions on what security means, how it is envisioned, how it should be provided and accessed, and how to create a more representative, legitimate, affordable and effective security sector that addresses the specific needs of all gender groups. This implies both that women are included in decision-making and oversight institutions within the security sector and that the process for developing these frameworks (e.g. SSR plans, National Security Policies, Institutional Reviews and White papers (Defence, Police, Corrections and others) is inclusive. It is important that gender is mainstreamed into these frameworks as they form the basis on which claims to participation, equal

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[8] The UN IDDRS 5.10 on "Women, Gender and DDR" provides a detailed account of how to integrate gender in the different phases of DDR. Some of the points highlighted here were drawn from these standards.
[9] OECD, 2004, "Security System Reform and Governance: Policy and Good Practice" *Policy Brief,* May, pg. 1.

opportunity and access can be made. It is also important that all SSR related initiatives should be conveyed to all national stakeholders in appropriate and timely manner.

2. **Leadership:** Political will, leadership, commitment and responsibility are essential for initiating, implementing and sustaining both SSR and gender mainstreaming. This is particularly the case for security institutions that function on the basis of hierarchy. Leadership and support for a gendered approach to SSR has to come from the highest decision-making levels in government and security sector institutions and its implementation must be seen as the responsibility of both men and women, at all levels and in all security institutions and structures. It is not the sole responsibility of a gender or women's unit, directorate or ministry.

Operational interventions:

1. Establish a catalytic unit:
   a. **Mandate:** The unit advocates for gender equality and oversees the implementation of gender mainstreaming within SSR processes. The unit should be composed of a team of senior managers across key security sectors with decision-making power. This will ensure that the unit has the necessary authority to secure and use human and financial resources towards transforming the security sector's approach to gender equality.

   b. **Strategic function:** The main focus of this unit is on mobilizing political will and providing leadership on activities that will catalyse broad based gender programming the unit is not involved in day to day gender and SSR programme implementation.

   c. **Potential operational activities of the unit:**
      a. Lead the development and integration of performance targets on gender equity and equality for senior to middle ranking officers, and ensure the participation of senior women managers in their evaluation.
      b. Lead sector wide consultation to determine needs, security risks faced by staff and how best to address them from a policy perspective. To do so, a small team of multi-sectoral unit managers should be created to lead this process.
      c. Lead an assessment of levels of understanding of gender issues and commitment to pursuing this goal amongst senior and middle management staff and recommend appropriate capacity building measures.
      d. Align legal and policy frameworks: Across Africa, there exists a range of 'non-statutory' security forces, including local militias and private security companies, whose roles are not covered by national legislation. These forces need to be brought within the national legal and security framework, to ensure that they comply with international human rights norms

Implementing sector wide consultations:

   a. Develop and distribute simple questionnaires across the different security sectors to establish specific challenges faced by male and female staff in the course of their

duties. Where literacy is an issue use members of the task force to hold small focus group discussions with members of staff. Following the pattern laid down in the national needs assessment, care should be taken to ensure that power relationships across rank do not hinder open and candid conversation. The objective is for peers to engage each other in an open and productive manner. It is important that staff know that senior leadership takes the exercise seriously, even if while it targets middle level staff.

b. Hold sector specific, management targeted 2-hour meetings within ranks (some gender differentiated) to establish their assessment of security risks faced by communities, whether they are equipped to respond to them, the challenges they face in their responses and why.

c. Hold quarterly open days with communities around military bases, community police stations, and border posts to discuss their perception of security service delivery, their proposals on resolving security risks faced by women and men and current gaps in responses to these risks.

Sample questions for needs assessment for managers:

a. Do women occupy decision-making and oversight positions in the security sector in proportionate numbers to their male counterparts? If not, what are the factors that account for this? What can be done to improve the situation?
b. Are women able to influence and participate in the political and technical processes relating to SSR? What are the factors that hinder their effective participation and leadership?
c. Which mechanisms exist within the security sector to deal with matters of gender equality? Are they aligned with broader government mechanisms on gender equality?
d. Is there a commitment to undertake specific measures to promote, leverage, support or fund women's participation in gender and SSR programmes?
e. What are the human and technical resources (including soft skills, equipment, and infrastructure) required to improve institutional capacity to mainstream gender in SSR?

Sample questions for rank and file:

a. What are the challenges male and female officers and ranks face in the course of their daily work?
b. What steps can be taken by management to improve this situation?
c. What are the security challenges you have encountered within the communities you serve?
d. Do you feel well equipped to handle these challenges? If not, what can be done to improve your service delivery?

2. **Develop institutional policies to facilitate gender and SSR implementation. Important policies include:**

a. A gender policy will offer broad principles on institutionalising gender across sectors. The African Union Gender Directorate has a gender policy that can be adapted to institutional contexts. The aim of a gender policy is begin a process of transforming the male biases and accompanying cultures that prevent women thriving within the security sector.

b. A sexual harassment policy focuses on the code of conduct expected of women and men in the various ranks in the course of their duties in the community as well as within the institution itself.

c. A performance contracting policy places an emphasis on measuring and holding all staff accountable for their performance on gender equality targets set by the catalytic unit. (See M & E section in this OGN for sample indicators).

Note: For these tasks, it would be necessary to draw on gender experts, directorates and ministries, and consult male and female ex-combatants and civil society, as well as representatives of women's organisations and other actors traditionally associated with the design and implementation of these programmes.

3. Recruitment and retention policies: Ensure that human resource policies (with regard recruitment for instance) are gender sensitive. Develop gender-mainstreaming strategies that speak to recruitment, retention and advancement of women within the security sector. It is important that gender is mainstreamed into policy frameworks that guide SSR generally as they form the basis on which claims to participation and equal opportunity are laid.

i. Where these do not exist, enshrine principles of equality (and specifically affirmative action) in the Constitution, which will provide the foundation for subsidiary policies across security sector institution mandates. This alignment of gender laws will ensure that (at the very least) public service institutions comply with the need to recruit and retain an indicative percentage of women across all levels of service.

ii. Ensure human resource policies comply with the general principles of gender equality in the workplace. These include:
   a. Specified quota for the recruitment and retention of women across all sectors of security institutions. This quota should not be random but should be based on the Constitutional provisions and if there is none, work with the AU provision of 50% gender parity, which can be achieved progressively over a set period.
   b. Clear recruitment criteria for the security sector, which will be sensitive at the same time to requirements that tend to exclude large numbers of women, such as height, training performance expectations, etc.
   c. Family-friendly provisions such as day care facilities, flexi-time, maternity and paternity leave considerations when posting staff.
   d. Well-publicised and equitably applied criteria for remuneration, promotion and advancement.
   e. Equal opportunity on-the-job training programmes so that women are not confined to jobs assumed to 'reflect' their gender. Financial incentives should also be the same for men and women.

f. Develop mentorship programs that can facilitate the advancement of women into the senior ranks.
g. Conduct regular needs assessments with staff to determine gender specific challenges, needs and address these accordingly. Foster work place consultations between the leadership and staff on issues relating to gender, including the elimination of discrimination on the basis of gender in recruitment and career advancement.
h. Conduct workplace dialogues to identify the factors hindering the creation of an equal opportunity environment.
i. Identify "champions" among the male leadership to conduct outreach with fellow male staff.

D.3   FACILITATING IMPLEMENTATION AND BUILDING CAPACITY

To ensure that the often-cited gap between policy formulation and policy implementation is bridged, states must pay attention to creating an enabling environment and building the required capacity. This OGN lays particular emphasis on the need for a supportive political environment, skills development and resource allocation. Budgets are a good indication of prioritisation and if gender is an integral part of SSR programs, this need to be demonstrated in the budget allocations.

Strategic Interventions:

1. **Cultivate a supportive political environment:** This is particularly important for securing both financial and leadership commitment to institute gender and SSR initiatives in respective institutions. This is the function of the catalytic unit

Operational interventions:

i. Hold targeted awareness raising seminars and peer learning forums with management and high-ranking officials from other institutions that are already undertaking work on gender and SSR. Capacity building for senior and middle management staff should focus on developing analytic and planning skills. The benefits include**:**

   1. Management's ability to undertake a stakeholder analysis to asses who will "lose" and who will benefit from gender and SSR initiatives;

   2. Management's ability to build measures to tackle resistance to reform ; and

   3. Identifying and empowering drivers of change with decision making power, financial resources and oversight capabilities

Table 1: Capacity Building Objectives	
Objective	*Indicators*
Analytic	*Focus areas*
Enhance knowledge on gender issues relevant to the institution's mandate.	• Participants demonstrate knowledge of rape as a violent crime based on unequal power relations (as opposed to, say, cultural or personal differences) • The extent to which measures to protect women's and girls' human rights are included in directives issued by heads of military components and heads of police components in

	• peacekeeping missions
	• The amount of resources allocated to gender specific initiatives
	• Relevant findings from institution perception surveys
Planning	*Focus areas*
Develop skills needed to identify and respond to gender based discrimination (sexual harassment, sexual violence, etc)	• Policies in place that define procedures for investigation and punishment for specific crimes
	• Skills to investigate criminal offences such as rape (including prosecuting offenders and enhancing victim protection
	• Skills to investigate aspects of institutional culture that might contribute to gender based violence. (For example: what aspects of military procedure and hierarchy might contribute to a reduction—or conversely, increase--in gender discrimination ?)
Structures and mechanisms	*Focus areas*
Strengthened coordination of institutions working on gender	• Existence of safe and accessible internal complaints mechanism for addressing sexual harassment and other forms of gender-based violence.
	• Creation of a multi-sectoral task force on SGBV (composed of police, justice, health, traditional justice representatives, women and human rights organisations)
	• Coordinated implementation and monitoring efforts
	• Level of alignment of national laws on sexual offences with international standards

iii. **Data collection for programme implementation**: Support the collection of gender-disaggregated data, as this is vital for programme design, implementation and monitoring and evaluation**. This can be facilitated through** seconding gender experts, facilitating cooperation with gender ministries and women's rights organisations.

iv. **Budget and allocate appropriate resources** (human, financial and material) for implementing gender and women's rights interventions. Gender budgeting has been introduced into a number of security institutions as a means of guaranteeing budgetary allocation for gender issues. (See below for ways of operationalizing gender budgets).

Table 2: Steps In Gender Responsive Budgeting

STEP ONE – AWARENESS	VALUE	ASSESSMENT INDICATORS
Collect sex-disaggregated data to facilitate gender-specific analyses of revenues and expenditures in budgets	Offers an overview of gender-specific inequalities within each sector using gender-disaggregated data	• Gender balance in staffing within the security sector • Full and genuine access to all occupational groups and ranks, including leadership roles for women.
Building the capacity and sensibility of key stakeholders. The involvement of civil society is essential in raising awareness.	Helps examine the policies and programmes aimed at addressing inequalities established above.	• Policies designed to increase the recruitment and retention of women • Policies that eliminate discrimination on the basis of gender, particularly in relation to family and caring responsibilities.
Analyse how existing budgetary allocations affect gender equality	**Allows an assessment of investment of financial resources and desired change**	• Review of recruitment policies • Communication of recruitment policies • Number of recruitment drives targeting the under-represented gender most probably women • Number of women and men recruited and at what level • Institutional changes to make the institution more gender–friendly (such as separate accommodation facilities) • human resource policies reviewed to cater for women who may want to have children
STEP TWO: ACCOUNTABILITY	VALUE	INDICATORS

Involves an analysis of the entire budget cycle to cultivate a sense of accountability to delivering on the gender equality objectives.	**Enables gender and SSR managers to answer some of these questions:** • What is the percentage of resources from the overall budget allocated to piloting gender and SSR initiatives? • Have the resources gone towards delivering both the strategic and operational aspects in the gender and SSR plan? • What challenges have been faced during the budget cycle in terms of oversight and release of resources?	• Have resources dedicated to policy reviews translated into the implementation of policies such as maternity leave, improved staff welfare? • Have resources allocated to recruitment drives led to an increase of the under-represented group in the sector? • Does the catalytic unit have budgetary oversight over the gender and SSR components?
STEP 3: CHANGE	**VALUE**	**ASSESSMENT INDICATORS**
The ultimate objective of GRB initiatives and implies changing government budgets and policies.	Allows the introduction of additional tools and methods in relation to monitoring and evaluating the impact of the change in financial allocations.	Align resource allocation to objectives set. **Example:** • 40% of the policing budget in country X is designated to implementing gender and SSR initiatives. • USD 5,000 allocated to seminars for security sector leadership to build political will translates into a designated management champion appointed to oversee gender and SSR in each sector. • Champions allocate10% of district specific budgets to review and align policies to normative frameworks on gender, peace and security. • USD 10,000 allocated towards15 recruitment drives in 10 districts in country X should yield 2,500 women

recruited in the police,
corrections, and immigration.

D.4 PREVENTION AND PROTECTION

Sexual and gender-based violence (SGBV) is now widely recognised as a human rights violation, and is reflected in internationally binding resolutions and conventions such as the landmark decision in 1998 to recognise rape and other sexual violence as crimes against humanity when committed within the context of war within the Rome Statute and UNSCR 1325 (2000) and 1820 (2008) which recognised rape as a weapon of war. The lawlessness endemic to fragile, conflict and post-conflict situations presents serious challenges to entire communities. For women and girls, these situations are particularly grave, frequently involving sexual and physical harm as well as social, psychological, economic and political disempowerment. The absence of the rule of law in conflict situations results in mass sexual crimes due to the impunity practiced and enjoyed by perpetrators. Perpetrators in conflict and post-conflict settings primarily mainly fall into three categories namely; the armed and/or uniformed men and women fighting as government soldiers or rebel groups; family and community members; and the structures and institution of protection (the government and its organs, the intervening agencies such as peacekeeping missions and their peace programmes)[10].

Due to the weaknesses of justice institutions in conflict and post-conflict countries, sexual crimes committed become harder to tackle as perpetrators often hold senior positions in post-conflict governments. The capacity of the judiciary is often weak and traditional conflict resolution mechanisms are often applied in a discriminatory manner, leaving women with limited access to justice to prosecute abuses that occurred during the war or pursue justice during the transition period. The consequent *de facto* impunity is profoundly damaging to efforts to restore the rule of law and build confidence in post-conflict governance institutions.

Strategic Intervention

1. **Zero tolerance on SGBV within national security structures**: The attitude of senior and middle rank officials towards SGBV is critical to creating an institutional environment that does not tolerate SGBV. Even where there are relevant skills and enabling structures, if the attitudes of the officers do not reflect an understanding of the drivers of SGBV and the gravity of the practice, or indicate a willingness to actively address such abuse, it, then combatting SGBV remains difficult. Security personnel working amongst vulnerable populations are almost always in positions of power. It is this position that creates the potential for abuse and requires judgment and vigilance.

Operational interventions*:*

i. Develop and popularise a zero-tolerance policy on sexual harassment and other forms of sexual violence, which forbid staff in positions of authority from exercising discretion or changing punishment to fit the circumstances. The policy would pre-determine the chain of investigation and punishment regardless of individual responsibility, extenuating circumstances, or history.

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[10] See UN Security Sector Reform Integrated Technical Guidance Notes. 2012

ii. **Initiate protection units** to work in close cooperation with referral network actors, such as shelters and health and psychosocial and legal aid service providers. These units also have a role in popularising the zero tolerance policy on SGBV as part of their routine work.

Note: Having mixed teams of male and female officers serving in the protection unit sends the signal that SGBV is not a "women's problem", but a law and order problem that affects all society. While it is essential that women survivors of violence do not feel uncomfortable discussing the crimes committed against them, it is critical that male members of staff cultivate the requisite skills (and motivation) to confront such crimes head on.

iii. **Engagement with men and boys**: Initiate community based security and justice awareness raising and training programmes that support endeavours to halt violence against women and children and transform security sector institutions into gender responsive spaces. These programmes would facilitate increased reporting of sexual crimes committed against men, reduce associated stigma as well as conversations on positive, non-violent masculinities.

Note: partnerships with civil society organisations especially women's rights organisations would be useful here

iv. **Training:** Security actors who are part of the protection units should put in place basic structures and develop the requisite skills to combat SGBV.

Note: partnerships with civil society organisations especially women's rights organisations would be useful here

Possible training areas include:
   a. Adequate understanding of the ethical and safety implications of interviewing survivors
   b. Standard operating procedures for dealing with SGBV survivors, investigative skills for police prosecutors
   c. Chain of evidence custody
   d. Forensic evidence collection
   e. And psycho-social support amongst others.

Key stakeholders: In addition to the police who are frontline service providers, it is important to equip military personnel (male and female), immigration and border control staff, private and community security services who deal with incidents of human trafficking and conflict-related sexual violence. These efforts would strengthen prevention of sexual and gender based violence within the security sector and in the community at large.

v. **Initiate one-stop-centres:** in which policing, investigative and comprehensive health services including psychosocial support are offered in one place. These centres which bring together the chain of actors key to securing justice for SGBV crimes encourage reporting of SGBV crimes, ensure holistic care for survivors of violence without subjecting them to re-traumatisation. They also reduce the number of people who fall away from the justice system due to its complexity and cost, and allow for closer multi-sectorial coordination on an issue. One stop

centres have been found to be a useful mechanism to address SGBV. **Note:** Where resources for establishing one-stop centres do not exist begin by setting up multi-sectorial community referral networks composed on the same chain of actors as a starting point.

2. **Creating an enabling justice system:** The ability of local justice systems to conduct their work goes hand in hand with overall reforms in the justice sector, which requires adequate financial, structural and human resources if staff are to be enabled to carry out their responsibilities. Most countries still retain inherited and/or gender-biased legal regimes, which contribute further to the discrimination of women by limiting access to effective redress. Countries emerging from armed conflict also face the added disadvantage of weak or non-existent judicial systems. In these instances, traditional conflict resolution mechanisms fill the void and are preferred because they are available, closer to the people and less expensive. However, justice in these courts is often applied in a discriminatory manner, leaving women either with limited access to justice or even the distinct possibility of being re-victimised. In order to deal with the impunity that often accompanies violations against women in war and peacetime, an investment in rebuilding the rule of law - through an effective justice system, which includes enabling laws, effective policing, regulating non-state actors and comprehensive health care, including psychosocial support is paramount.

Operational interventions:

i. Develop standard operating procedures for reporting, investigating and prosecuting gender based violence and crime. These operating procedures should be publicised across the chain of actors who form the task force indicated below, as well as within the population.

ii. Establish a task force that comprises the police, justice sector representatives, and community-based organisations including traditional and religious structures and women's organisations to act as a source of technical advice at national and community levels. Formal and informal partnerships with women's organisations as part of this task force will also facilitate data collection on violations of human rights, including conflict-related sexual violence, human trafficking, incidents of SGBV, discriminatory behaviour, and other forms of misconduct. The task force would both comprise and work closely with local government authorities (where these exist) and other local leaders to increase community vigilance and build communal zero tolerance towards SGBV and track access to justice for survivors of violence

iii. **Regulate** non-state actors: It is important for security organs to put in place legislative and oversight mechanisms to regulate private military, security companies and vigilante groups which provide security and investigative, surveillance and other services. A State has the ultimate obligation to protect its citizens and ensure that private security actors comply with national and international human rights standards and norms.

3. **Performance contracts:** Performance contracting has been adopted by a number of African governments as an accountability mechanism aimed at tracking and measuring the performance of various government departments. Accountability mechanisms enable effective measurement of how policy positions are translated into actual programmes and results on the ground. The operational interventions in this area are linked to monitoring and assessment and can be applied across the board

Operational interventions

i. Develop specific indicators (examples shown below) across sector units to form the basis for departmental tracking, reporting and ranking.

ii. Use the catalytic unit and multi-sectoral task force that will guide the identification of indicators and create a suitable tracking and reporting mechanism for each unit internally and build external oversight support.

D. 5   MONITORING AND ASSESSMENT

1. Monitoring and Evaluation (M & E) are separate but twin practices that are designed to determine the overall performance of a state, an institution, programme or project in a given area. In this case monitoring and evaluating SSR initiatives will be to determine its effectiveness in addressing gender and women's rights issues.

2. Monitoring is a systematic, continuing and long-term process that primarily collects information on a project with an aim to "provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results"[11].

3. Evaluation is a time specific activity that is undertaken to gauge whether or not a project has reached its goals and delivered on what was expected according to its original plan. The aim is "to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability"[12]. In a nutshell, monitoring "provides feedback on the 'implementation process', while evaluation processes provide feedback for stakeholders on results and lessons learned[13]".

4. As a twin exercise, monitoring and evaluation helps collect data, "inform national and local plans and polices, create improved indicators to track progress and provide strategic directions to policy makers and programme implementers for scaling up"[14].

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[11] Nicola Popovic, 2008, *Security Sector Reform Assessment, Monitoring and Evaluation and Gender*, in Gender and Security Sector Reform Toolkit (eds) Megan Bastick and Kristin Valasek; Geneva: DCAF, OSCE.ODIHR, UN-INSTRAW
[12] Ibid, Nicola Popovic, 2008
[13] Ana de Mendoza, 2010, Monitoring and Evaluation Framework (2010-2013), UN-Women Fund for Gender Equality
[14] Ibid, Ana de Mendoza, 2010

5. Effective monitoring and evaluation of gender initiatives within SSR involves identifying the gender-based results aimed for at the beginning of an intervention, developing gender-sensitive indicators, and collecting and strategically using sex-disaggregated qualitative and quantitative data. Clear indicators should have been developed for input, output, process and outcome.

Strategic interventions

1. **Allocate responsibility and resources**: Management and senior ranking officers, including departmental and unit heads should plan for and allocate specific budgets towards M & E and designate personnel to manage this work.

Operational interventions:

   i. Revise **standard operating procedures** to include a requirement for gender-sensitive M&E including with respect to performance appraisal and results based management systems.

   ii. Create a **cross-sectoral and departmental working group** between and among security institutions to aid the implementation of gender-sensitive M&E

   iii. Develop and/or strengthen **internal technical capacity** within security institutions for gender-sensitive M&E, including through mentoring, advisory support and creative constructive monitoring.

2. Develop **gender-sensitive monitoring and evaluation implementation frameworks** that outline broad-based engagement with female security personnel and civil society, particularly women and women's organisations in addition to male staff and mainstream human rights organisations throughout the programme implementation cycle.

Operational interventions:

   i. Ensure the initial needs assessment that is undertaken includes a focus on gender.

   ii. Identify gender related goals and priorities based on the needs assessment, other available information and consultation with stakeholders.

   iii. **Gender disaggregated data**: All information and data collected should be sex-disaggregated as well as disaggregated by age, class, sexual orientation, ethnicity and religion. Engage civil society, particularly women and women's organisations in the collection and collation of sex-disaggregated data and during broader consultations on SSR M&E advocate for the principle of gender equality and increased numbers of women, in the M&E teams.

   iv. Develop **indicators,** both qualitative and quantitative, for gender-sensitive M&E of SSR programmes, projects and services for the input, process or performance

and outcome stages of implementation.

v. Monitor progress against targets set for the period, undertake mid-term evaluations and feed results into the SSR process to allow for mid-term corrections, if needed in order to obtain expected gender-related outcomes.

Table 3: SAMPLE INDICATORS LINKED TO PERFORMANCE CONTRACTING AND MONITORING AND EVALUATION						
Problem	Objective	Institutional Indicators	Possible Activities	Activity Indicators	Overall goal	Strategic Indicators
High rates of sexual violence in the district X	To reduce sexual violence	• Shift in institutional (security sector) responses to sexual violence cases. Evident in gender disaggregated recording, tracking and investigating sexual violence cases and leadership support in prosecuting offenders. • Shift in community and societal attitudes towards sexual violence. • Increased awareness and sensitization about the causes and consequences of sexual violence	• Multi-sectoral community awareness raising activities • Training for 50 police investigators on forensics and ethics of sexual violence investigations • Training for 30 public prosecutors and police officers on the legal provisions and international instruments on sexual violence and women's rights • Police officers specially trained in handling SGBV cases are placed in police stations throughout the country, ensuring that women and men have	• 50% of the cases reported to the police station and justice system are effectively prosecuted • Increased community awareness of the channels for reporting and investigating sexual violence • Cases of sexual violence reduced by 50%. • No. of sexual violence cases reported to multi-sectorial actors including informal justice system. • Number of cases referred from informal justice system to formal systems (police, courts)	A district free from all forms of sexual violence	• Safe and secure space for women. Evident in recording, tracking, investigating and successful prosecution of 80% of sexual violence cases. • Extent to which measures to protect women's and girl's human rights are included in national security policy frameworks

			decentralized access to specialized support.	• Number of cases of sexual violence pursued in the formal justice system		
Incidents of sexual harassment in police training college Y	To create a conducive working environment for women and men in the police force	• Shift in institutional (security sector) responses and attitude to sexual harassment. Evident in recording, tracking and investigating sexual harassment cases. • Increased awareness about the causes and consequences of sexual harassment • Systematic integration of questions on sexual harassment in institutional accountability mechanisms.. • Stiffer punishment for offenders	• Course on gender violence and women's rights broadly embedded in the police training college curriculum. • Training for senior and middle management staff on the causes and consequences of sexual harassment found in the human resource policy of the sector and regional legal provisions. • Training and skills building workshops for regular police officers on causes and	• 100% of sexual harassment cases resolved. • Reduction in the number of sexual harassment cases by 100%. • Increased awareness of the zero tolerance policy on sexual harassment • Performance assessment and application index on women's rights course performance.	A gender responsive police college	• Extent to which police statistics systematically record gender disaggregated incidences of sexual harassment, including with respect to the sex of the victim, the sex of the perpetrator and the relationship of perpetrator to victim. • Existence of specific legislation or policies prohibiting sexual harassment within the police. • The number of sexual harassment offenders are

			consequences of sexual harassment found in the human resource policy of the sector and regional legal provisions • Establish a hotline or dedicated communication mechanism for reporting sexual harassment			prosecuted and punished. • The extent to which victims are protected against reprisals.
Few women across various sectors of the military	To ensure gender parity in the military	• Shift in institutional (security sector) responses to women in the force. • Sustained recruitment and retention of women across all sectors of the military. • Facilities (hardware) for female staff in the barracks • Introduce Gender Sensitive recruitment programmes	• Review of institutional policies on recruitment and establishment of a quota for women across the military. • 30% women achieved across annual recruitment drives • Community outreach, including through 10 information,	• Number of women recruited at entry level increased by 50% • Number of women prepared for promotion across different sectors increased by 30%	An equitable military	• Existence of equal opportunity policies that include appropriate temporary affirmative measures and quotas • A strengthened catalytic unit that is empowered to leverage political support and targeted resources to

			education and communication – open days about the military.			promote women's participation across the institution. • Institutionalized mentoring and advisory programmes. • Systematic and sustained media and civil society outreach to debunk discriminatory social norms that affect women's opportunities and choices

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F. MONITORING AND COMPLIANCE

[AU DEPT RESPONSIBLE]
[CHECK LIST AND PROCEDURES]

G. DATES

a.   This operational guidance note shall be effective from [DATE OF PROMULGATION]. These guidelines shall be reviewed no later than [DATE].

H. CONTACT

b.   The contact for this operational guidance note is AU SSR Focal Point [CHECK].

I.   HISTORY

c.   This is a new operational guidance note and has not been amended. XX have been consulted in the drafting of this operational guidance note. The operational guidance note was reviewed and approved by [AU DECISION-MAKING BODY] on [DATE].

SIGNATURE

DATE