SECURITY GOVERNANCE INITIATIVE

Promoting the transparent, accountable, and efficient management and oversight of security and justice sectors
Introduction

U.S. national security requires effective partners and allies. Launched in 2014, the Security Governance Initiative (SGI) enables partner countries to manage security and justice sector institutions more effectively. The six SGI partner countries include Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia.

Improving security sector performance and reforming institutions are technical and political endeavors. Tactical training and equipping is necessary to build security sector capability; however, it is insufficient. SGI seeks out where strong political commitment to improved security sector governance exists, and then works to leverage U.S. interagency support to build upon it. SGI also works to enable reform-minded leaders in partner countries to achieve the organizational change necessary to take on 21st century security challenges.

Since the inception of SGI, partner countries and U.S. interagency stakeholders have learned valuable lessons related to the SGI approach. This SGI 2017 Review provides an opportunity to reflect on the past three years and share the approach, progress, and best practices discovered through SGI implementation.
Three characteristics set SGI apart from other engagements – partnership, process, and patience. SGI facilitates senior-level conversations to address institutional and political roadblocks inhibiting effective management, oversight, and sustainment of the security sector. SGI has prompted the development of meaningful strategies, and the alignment of resources to support defined objectives. Several partners have also made significant progress in improving inter-ministerial coordination to address security challenges. These reforms will contribute to making these countries more capable partners and security and justice providers in the long-term.

The SGI Joint Country Action Plan (JCAP) is a co-drafted document with each SGI partner country to record a mutual understanding of common security priorities and challenges, and set expectations for the SGI partnership. Knowing partner priorities, political will, and shared interests make JCAPs a powerful tool for identifying opportunities for engagement.

In 2017, with all JCAPs drafted and signed, SGI moved into full implementation phase. The level and nature of progress varied across the six countries. Political factors, such as elections and changes in a country’s leadership, as well as technical factors, such as a country’s ability to absorb the assistance, influenced the pace of reforms.

While more detailed descriptions of country engagements can be found on pages 5-10, SGI highlights from 2017 include:

- Partners gathered in Accra, Ghana at the inaugural SGI Partner Seminar to share experiences and new ideas for advancing security sector governance objectives.
- In Niger, SGI supported the creation of policies to improve the overall management of resources for addressing critical security threats.
- Through SGI, Mali’s Ministry of Defense applied personnel screening procedures, and the Ministry of Security developed recruitment tools for the National Police.
- With SGI assistance, Kenya established Joint Operations Centers for border management entities to collect and share information, and adjudicate action on goods and people entering the country.
Security Sector Governance is Inherently Political. Changes in the governance of security sector institutions may create winners and losers. Addressing the formal and informal arrangements that govern the use, oversight, and maintenance of the security sector leads to more meaningful and sustained reforms. Frequent engagement with high-level political leaders through steering committees and senior-level designated points of contact helps to ensure that momentum on institutional reforms is maintained.

Partnership Is Not Just a Buzz Word. The provision of effective security sector assistance relies on a genuine partnership between the provider and recipient countries. As a partnership, SGI predicates that the U.S. government and partner country jointly define and address common interests and objectives. Patience was required to establish a shared understanding of the security sector challenges, a common vision, and jointly identified requirements.

Inter-Ministerial Coordination Plays a Critical Function. Unique cultures, mandates, and standard operating procedures make integrated interagency planning, programming, and execution extremely challenging. A whole-of-government approach allows governments to apply resources and capabilities more strategically. Coordination and consultation among U.S. interagency stakeholders and partner government representatives during the program development and implementation phases enhances information sharing and unity of effort.

Monitoring and Evaluating Progress Focuses Efforts. A monitoring and evaluation framework was developed to help shape and measure SGI implementation outcomes. Defining milestones and measuring results help determine the efficacy of the SGI approach, which, in turn, allows for the formulation of recommendations to improve planning, programming, and implementation. Regularly scheduled steering committee meetings provide opportunities for senior U.S. and partner country officials to review progress, discuss ways to overcome implementation obstacles, and evaluate whether efforts are meeting strategic goals and objectives.
SGI held its inaugural Partners Seminar in Accra, Ghana, from December 11-15, 2017. The seminar brought together U.S. interagency stakeholders and senior military and civilian officials from the six SGI partner countries—Ghana, Kenya, Mali, Niger, Nigeria, and Tunisia—to share their experiences with security and justice reforms through SGI, reinforce security governance principles, and develop a network for future collaboration.

The seminar, organized by the Africa Center for Strategic Studies (ACSS) on behalf of the Department of State (DOS) Bureau of African Affairs, opened with remarks by the Ghanaian Minister of National Security, the Ghanaian National Security Coordinator, and the U.S. Ambassador to Ghana. The seminar included expert presentations on security governance issues and smaller group discussions on common SGI focus areas, including border management, communication, strategic planning, resource management, and the administration of justice. The seminar allowed opportunities for country delegations to meet separately to glean ideas from one another. U.S. Embassy and Washington-based officials from DOS, U.S. Agency for International Development (USAID), and the departments of Defense (DOD), Homeland Security (DHS), and Justice (DOJ) gained a better understanding of SGI partner countries’ priorities and commitments.
The SGI Ghana JCAP, signed in February 2016, focuses on maritime security, border management, cyber-crime and cyber-security. The administration of justice is a crosscutting issue throughout these areas. The Government of Ghana (GOG) leads inter-ministerial working groups to organize efforts for meeting JCAP objectives.

**Maritime Security.** Ghana faces a range of maritime security challenges – from piracy to illegal fishing – that undermine its economic prosperity and pose significant risk to national security. In 2017, SGI focused on two lines of effort. First, SGI began the facilitation of the development of a whole-of-government maritime security framework and a national maritime strategy. Through consultations, workshops, and a tabletop exercise, SGI aimed at validating the findings of the 2017 Maritime Legal and Institutional Review, identifying ways to improve interagency maritime security information sharing, and began to frame a roadmap to address critical gaps. Second, SGI conducted a survey of maritime domain awareness systems and sensors currently used by Ghanaian stakeholders for fisheries monitoring. The assessments found that in each agency there were functionalities in their systems that were not currently being used, or for which the usage could be adjusted to better meet the needs of each agency.

**Border Management.** Transnational threats, including terrorism and illicit trafficking, require enhanced management of Ghana’s air, sea, and land borders. In 2017, an assessment of Ghana’s borders was conducted, which was presented to the Deputy National Security Coordinator. The border management working group instituted a governance architecture to improve communication and collaboration across GOG’s border management agencies. The architecture established sub-integrated border management units, to consist of border security committees at all points of entry.

**Cybersecurity and Cybercrime.** As Ghana moves to secure physical points of entry, it also seeks to secure invisible points of entry – namely by bolstering cyber security and improving its ability to fight cyber-crime. SGI focuses on the development of a comprehensive approach to cyber security, as well as developing GOG’s Cyber Emergency Response Teams. In 2017, the GOG launched the National Cyber Security Technical Working Group, as well as the National Cyber Security Inter-Ministerial Advisory Council. SGI supported Ghana’s Cyber Week and is continuing to assist the GOG as they move towards accession to the Council of Europe’s Convention on Cybercrime.

**Administration of Justice.** Greater transparency and accountability in the justice sector permit Ghana to more effectively and expeditiously prosecute criminals related to the three SGI focus areas: maritime, border and cyber security. SGI assists the GOG to clearly define roles and responsibilities of the Ghanaian police and prosecutors related to the criminal justice process and to enhance the management of criminal cases across GOG agencies. To this end, a system is being designed to facilitate case tracking at the inter-ministerial level. To ensure sustainability, through SGI, the GOG is working on a plan to operate and sustain the system well into the future.
The SGI Kenya JCAP, signed July 2015, focuses on border management, police human resource management, and the administration of justice. Countering violent extremism is a cross-cutting issue throughout these areas. The 2017 presidential election period limited SGI engagement in the latter part of the year. The Government of Kenya (GOK), however, has remained committed to JCAP objectives. In support of SGI, the Director of Kenya’s National Counter Terrorism Center, Ambassador Martin Kimani noted that “More bilateral partnership programs should adopt the SGI structure for mutual responsibility and strengthened joint initiatives.”

**Border Management.** One of Kenya’s highest security priorities is preventing terrorism and illicit movement across its borders. In 2017, efforts continued to improve coordination and collaboration among Kenya’s multiple border agencies. SGI supported the establishment of Joint Operations Centers, and the development and implementation of processes for sharing information at points of entry, including border crossings, ports, and airports. Representatives from Kenya’s border security agencies traveled to the United States for study visits, which informed the drafting of a border management strategy and the development of a structure for internal and external communications. SGI facilitated the identification of the legal authorities that define border management. SGI also works with communities along Kenya’s borders to engage with local and national government authorities in order to enhance border control. Finally, SGI facilitated the signing of the Automated Targeting System – Global memorandum of understanding between the Governments of Kenya and United States that will enable both countries to share passenger information, enable legitimate travel, and help them prevent terrorism.

**Police Human Resource Management.** Consistent and transparent policies for police human resource management and oversight would allow Kenya to more effectively hold police accountable, promote internal security, and enhance public trust in law enforcement. The Kenya National Police Service (NPS) task force began using the findings from a job task analysis conducted through SGI in 2016 to inform new policies governing hiring, training, and promotion, and to help the NPS align human capital to real needs. In addition, initial progress was made toward defining the requirements for a police human resource management information system and developing a scope of work for a Phase II job task analysis.

**Administration of Justice.** Improving court processes and offering alternatives to trial can reduce case backlogs and pre-trial detention rates and minimize the exposure of those awaiting trial to radical ideology in Kenyan prisons. In 2017, SGI established pilot projects in conjunction with the Kenyan Office of the Director for Public Prosecutions to increase the use of plea agreements. SGI supported the National Council on the Administration of Justice for Children’s Matters to conduct “service weeks” to address pending juvenile matters, expand legal representation to children in conflict with the law, and use plea agreements to resolve cases. The GOK demonstrated a commitment to build stronger justice institutions and expand legal aid services to the Kenyan population by announcing the National Action Plan on Legal Aid 2017-2022.
The SGI Mali JCAP, signed in December 2015, focuses on aligning Ministry of Defense (MOD) resources to operational needs, National Police (NP) recruitment and human resource management, Ministry of Justice (MOJ) human resource development, and inter-ministerial defense and security planning and coordination. In 2017, the Government of Mali (GOM) moved forward with its plan to establish a permanent entity to coordinate Mali’s defense and security strategy.

**Ministry of Defense Resource Management.** Enhanced planning processes and implementation of clear policies to manage the human, financial, and material resources of the MOD will enable the GOM to align its resources more efficiently with its national security priorities. In 2017, the MOD’s Human Resource Directorate used and evaluated personnel recruitment screening procedures developed through SGI. Drawing on SGI resources, MOD also conducted a review of the functions of logistics personnel to identify associated training requirements. A plan was presented to the Minister of Defense to establish an MOD Strategy and Policy Office.

**National Police Human Resource Development.** Qualified and motivated personnel will enable the NP to conduct law enforcement activities effectively. In 2017, transparent processes to recruit, train, promote, pay, and discipline law enforcement officers were developed to improve the NP’s human resource management system. In 2017, a series of NP recruiting forms, questionnaires, and manuals were completed through SGI. SGI facilitated the identification of skill sets and job requirements that the NP must account for in its personnel resource management reforms. Digitization of the human resource management system of the NP was also pursued through SGI.

**Ministry of Justice Human Resource Development.** Strengthening the management capacity of the courts and prisons will enable the MOJ to administer justice effectively throughout the country. In 2017, several manuals for magistrates and clerks of courts and registries, as well as other documentation for the use by the judicial training institute were developed through SGI. The documents defined the roles and responsibilities of clerks, registrars, and magistrates; identified career paths for members of the judiciary and the other legal professions; and suggested improvements to the recruitment process. These products aim to enhance the oversight and management of the courts with a view to improving justice services for everyone. Progress toward the computerization of the MOJ human resources management system was also made through SGI in 2017.

**Inter-Ministerial Coordination.** Strengthening its framework for coordinating national security policies will enable the GOM to address its security challenges strategically and comprehensively. Throughout 2017, SGI supported the GOM to develop structures and personnel to enhance coordination of national security priorities. By the end of the year, it was that the GOM intends to establish a national security council at the Presidency of the Republic of Mali.
Niger
The SGI Niger JCAP, signed in October 2015, focuses on conducting a national security review to develop a strategic framework, aligning Government of Niger (GON) resources to security needs, and improving external communications. The GON showed steady progress in 2017 through high-level engagement and participation from across the government. As a result, SGI in Niger is a front-runner within SGI, both in terms of progress and implementation.

**Strategic Framework.** A strategic framework is necessary to enhance the GON’s ability to prioritize its national security threats and appropriately assess any capability gaps that may hinder addressing such threats. In 2017, SGI supported the development of a prioritized list of capability gaps based on three threat scenarios. This gap analysis was presented to the commanders of all four Security Defense Force (FDS) Corps – the Nigerien Armed Forces (FAN), the Gendarmerie, the National Guard, and the National Police (PN). A proposal was also put forward to establish an inter-ministerial strategic planning body that would periodically meet to reassess security threats and capability gaps, thereby institutionalizing the work SGI has done to date and ensuring representation of the relevant ministries.

**Resource Management.** SGI focuses on aligning human and financial resources to capability gaps and priority threats, as well as on building an understanding of the logistical considerations required to adequately respond to security concerns. In 2017, SGI work resulted in the creation of critical policies necessary to improve the overall management of resources related to Niger’s most pressing security threats. SGI supported the drafting of new promotion and assignment policies to reduce rank inflation and institute a merit-based promotion and assignment system, and new specialty codes were developed to allow leadership to understand where personnel gaps may exist and what skills are required to do specific jobs within the FDS. The ministers of Defense and Interior reviewed these new policies, which are now undergoing approval and implementation processes. Logistics doctrine was also drafted and approved, and is also in the process of being implemented. Finally, a modest rebalancing of procurement and operations and maintenance budgetary allocations took place through SGI in 2017, and work is being conducted to incorporate life cycle costs into the budget process.

**External Communications.** Given the substantial amount of GON’s budget allocated for defense, a robust public communications capability is necessary to ensure Nigeriens are apprised of security threats and what the government is doing to counter them. In November, an external communications working group produced three public communications manuals and is now shifting its focus to the development of a public affairs structure that is capable of issuing synchronized and accurate security-related messages to the public. Key directives supporting the work of this working group are awaiting approval by the National Security Council. Ongoing efforts include SGI-supported citizen forums to promote communication between the GON and the public as well as sponsored trainings for journalists.
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Nigeria

The SGI Nigeria JCAP, signed May 2017, focuses on the Ministry of Interior (MOI) nationwide emergency response planning and coordination, the Ministry of Defense (MOD) procurement and acquisition procedures, and inter-ministerial civilian security planning for the Northeast. While the Government of Nigeria senior leadership has embraced the SGI concept in principle, appointing the Minister of Interior as the SGI point of contact for two of the focus areas has caused a slow start of activities. An SGI re-launch in January 2018 was intended to bring attention to these focus areas.

**Ministry of Interior’s Nationwide Emergency Response Planning and Coordination.** Coordinated planning amongst the MOI components will enable a more efficient response to emergencies throughout Nigeria. SGI supports the MOI to develop clear policies and procedures for emergency response and management. In 2017, SGI formed a working group to discuss plans for anticipating emergency response needs, allocating assets and personnel, preparing and responding to emergencies, and fully integrating the MOI’s various capabilities and mandates.

**Ministry of Defense’s Procurement and Acquisition.** Effective acquisition planning, execution, management, and oversight that accounts for the entire life cycle of materiel in an evolving security environment will enable the Nigerian defense establishment to develop, sustain, and effectively employ military assets and capabilities. In 2017, through SGI, the MOD began mapping acquisition practices and were introduced to relevant concepts such as cost analysis for acquisition planning.

**Civilian Security Planning for the Northeast.** As the Government of Nigeria regains control of territory formerly held by Boko Haram in the Northeast, close coordination between the military, other security services, communities, police, and state and local governments is required to restore security and confidence in government security forces. SGI will work to facilitate the transition from military to civilian authority in the Northeast and support plans to re-establish security and justice for citizens.
The SGI Tunisia JCAP, signed in September 2016, focuses on enhancing border management; police policies, procedures, and community engagement; and promoting integrity and addressing radicalization in the criminal justice system. The Government of Tunisia (GOT) continues to institutionalize its new democracy through reforms of the security and justice sectors.

**Border Management.** Enhanced border management and security would stem the flow of armed groups, weapons, and other illicit goods into Tunisia, and help to address Tunisia’s growing terrorist challenge. In December 2017, the President signed the National Border Security Strategy (NBSS). Once GOT shares the NBSS with the international community, SGI will focus its engagement on areas where the USG can best support its implementation.

**Police Policy, Procedure, and Community Engagement.** Accountability and engagement with the population foster confidence in the police and a partnership for addressing citizen security priorities. Following an SGI study tour to the United States, the Inspector General began developing plans and policies for enhancing investigation capabilities and procedures, and increasing the accountability of the National Guard and National Police. SGI is also facilitating processes that create opportunities for the police to engage meaningfully with communities.

**Promoting Integrity and Addressing Radicalization in the Criminal Justice System.** Access to justice, reduction in social marginalization, enhanced detention procedures and conditions, and improved accountability and transparency would promote judicial integrity and counteract factors that have led to radicalization in the criminal justice system. Through SGI, policies and procedures are being developed for expediting cases in the courts; enhancing systems for transporting, vetting and detaining prisoners; engaging with media and civil society organizations; and facilitating access to justice for all.
Thank you to all who have contributed to the progress of the Security Governance Initiative in 2017.

For additional information, please contact

Email: info-sgi@state.gov