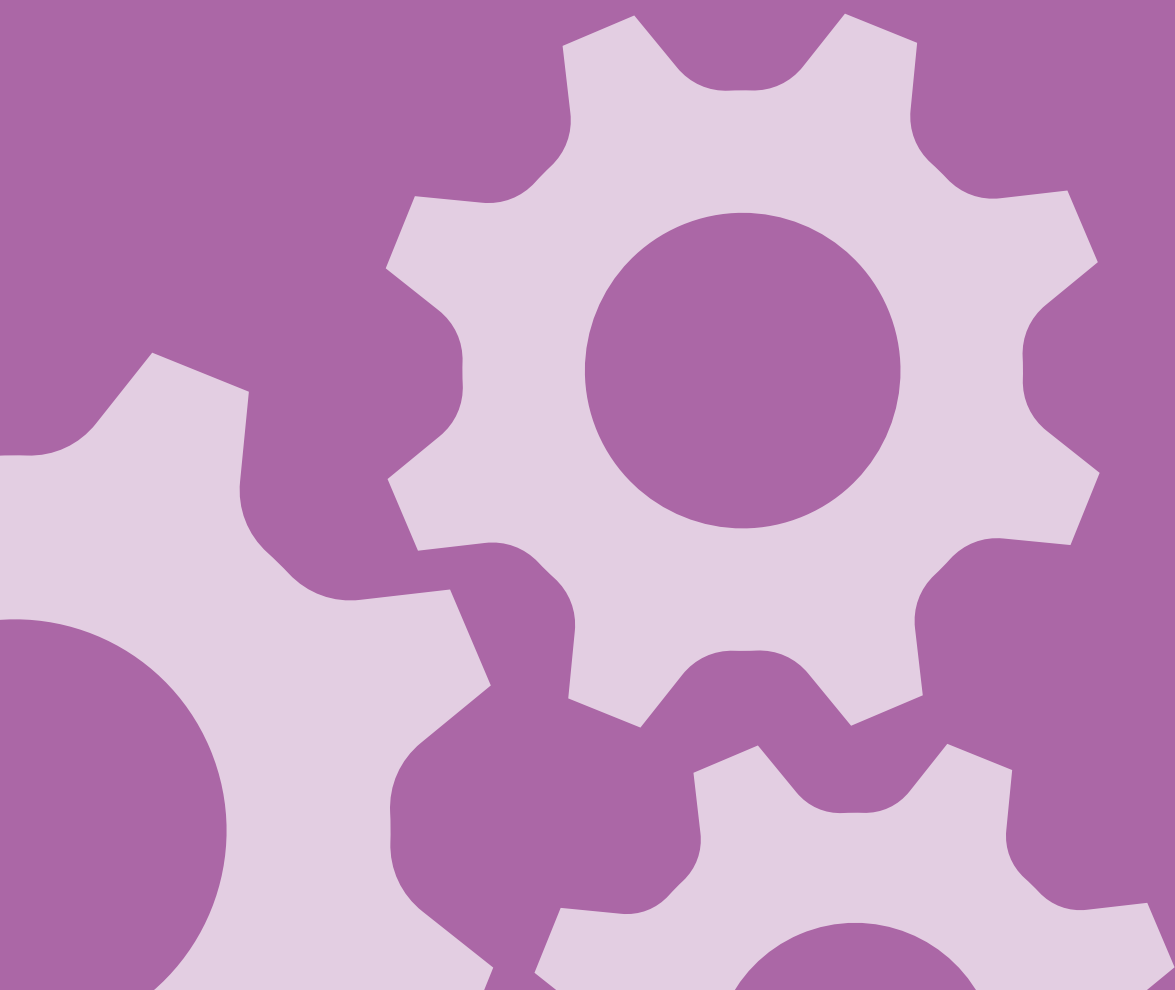

Guidelines for OSCE Staff

Results-Oriented Programming in the Field of SSG/R



Executive Summary

This chapter discusses the rationale for results-oriented programming in the field of SSG/R (section 1), explains the results-based management framework (section 2), describes how to programme for long-term results (section 3) and how to mainstream results-oriented approaches into different types of OSCE programmatic support (section 4). Finally, a practical checklist is provided to help staff in the process (section 5).

Key points from the chapter:

- **Programme for mid- to long-term results:** In line with OSCE mandates and taking into account national priorities for reform, it is important to identify the long-term programme objectives to which OSCE support intends to contribute. OSCE support has at times focused on activities and short-term results (outputs) rather than on planning for and measuring their contributions to the mid- (outcomes) to long-term (objectives) results required for sustainable change. In the field of SSG/R, long-term results should contribute to positive change for the beneficiaries and their wider environment, for example, increasing the security of marginalized groups or creating more inclusive and accountable security sectors. These aspects shall be taken into account and reflected during the Unified Budget (UB) Proposal so the formulation of outcomes and objectives is adjusted in case needed.

Once the programme objectives have been identified, a theory of change should be developed to identify the sequence of results at different levels that are needed to contribute to the objective and to identify the assumptions underpinning each causal link. Once a programme strategy is in place, projects can be developed that feed into the broader UB programme objective. Among other things, national ownership is essential to the sustainability of long-term results, as is ensuring that national strategies and frameworks are adequately supported and reflected throughout the planning and implementation process.

- **Ensure that activities are implemented with the mid- to long-term results in mind:** OSCE staff should reflect on how to implement SSG/R-related activities in ways that support a results-oriented approach, notably by ensuring that activities are conducted as a means to achieve broader objectives and not as ends in themselves. Doing so requires that all types of activities (e.g., workshops, training and courses) are connected to the formulation of outputs (the products and services that will result in an increase in skills and awareness of security sector representatives). Outputs should then lead to achieving outcomes (changes in the behaviour and institutional capacity of security sector institutions) and subsequently contribute to achieving objectives (changes in condition for effective security sector governance).

- **Consider the building blocks for sustainability of SSG/R support:** Sustainability can be safeguarded, for example, by strengthening national capacities to gradually take over some of the support provided by the OSCE (e.g., the organization of workshops), by ensuring that the financial implications of reform efforts are understood and assumed by national actors over time, or by embedding individual capacity-building or legislative reform initiatives in long-term institutional reform strategies and the curricula of national training institutions. Situational analysis and needs assessments are important tools to map actors and areas that have potential for contributing to sustainable change.
- **Monitor and evaluate progress towards achieving mid- to long-term results:** Monitoring and evaluation (M&E) is essential to ensure that OSCE support leads to mid-term results (outcomes) and contributes to long-term results (objectives). While short-term progress needs to be monitored, it does not shed light on whether OSCE support is contributing to sustainable mid- to long-term results, such as changes in institutional behaviour or performance and in conditions. M&E needs to start at the planning stage, by clearly setting out the mid- to long-term results the OSCE seeks to contribute to and by establishing baselines, against which progress can be measured. Indicators need to be developed for each level of the results chain as well as the means of verifying them through qualitative and quantitative data. M&E should capture each level of the results chain to establish whether OSCE support is contributing to mid- and long-term results. In the SSG/R field, M&E should also reflect on the extent to which the support provided is in line with SSG/R principles.



1. Rationale

This chapter provides OSCE staff with advice on how to support the delivery of sustainable reform with a focus on long-term positive change. The text complements OSCE's Performance-Based Programme Budgeting approach and the OSCE Project Management Manual,¹ including OSCE project proposal templates.

In recent years, the need to ensure that international support contributes to positive and sustainable long-term change has been increasingly recognized. For instance, the Busan Partnership for Effective Development Cooperation underlined that “having a sustainable impact should be the driving force” behind international support.²

In practice, international support has often focused on activities and short-term results, rather than on planning for and measuring contributions to mid- to long-term results required for sustainable change. This challenge is compounded in the field of SSG/R, where the sensitivity of some reform efforts at times results in missed opportunities to link activities to long-term objectives and broader strategies for long-term institutional change.

A results-based approach is based on planning for long-term results that lead to a change in conditions, as well as on identifying the mid- and short-term results needed to achieve them. Long-term results should be derived from and aligned to national priorities and national strategy implementation processes. Aligning to national strategies will help to ensure that support is not supply-driven (i.e., based on the available expertise of international actors) but is instead grounded in national priorities and policies that are set by states themselves.

The OSCE's approach to results-based management (RBM), known as Performance-Based Programme Budgeting (PBPB), is the OSCE's Unified Budget (UB) management tool. It defines the intended *objectives* (long-term results), *outcomes* (mid-term results), and *outputs* (short-term or annual results) at the programme level while ensuring that there is a cause-and-effect relationship between the key elements. PBPB promotes the development of a coherent theory of change, which identifies the results the OSCE seeks to contribute to across the results chain at the

1 OSCE, *Performance Based Programme Budgeting Orientation Guide* (Vienna, 2007); OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010).

2 OECD, *The Busan Partnership for Effective Development Cooperation* (Paris, 2012).

programme and project levels.³ It foresees that all actors will contribute directly or indirectly to achieving a set of results and ensures that their processes, products and services (as outputs) will contribute to the achievement of the desired mid- to long-term outcome and objective.

At the programme level, planning, monitoring and evaluating the OSCE's contribution to long-term results are thus at the core of OSCE strategic management and are integral parts of the PBPB approach. However, it can often be challenging to set objectives that are strategic enough with the aim towards long-term effects. It can be also challenging to design projects in such a way that they contribute to programme objectives. For this reason, this chapter highlights the need to plan for long-term change on the level of programme *objectives*. During their implementation, project activities must be connected to overarching objectives and be conducted in a manner that enhances the sustainability of reform efforts.

3 The OSCE Executive Structures translate their respective mandates and the political guidance received from the participating States into programmes through the UB process. A UB Programme is a level higher than a project. In the OSCE it involves not only managing multiple ongoing projects but also carrying out traditional diplomatic work and political monitoring and reporting. A programme is a complex, continuous and long-term effort. A project is a temporary initiative with limited resources, clear start and end dates, consisting of a series of activities aimed at producing results and achieving a specific objective. Within the OSCE, a project may be funded from the Unified Budget (UB) or extra-budgetary (EXB) contributions. OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010), pp. 7, 21.

2. The RBM Framework in the OSCE Context

2.1 The Results Chain of an Intervention

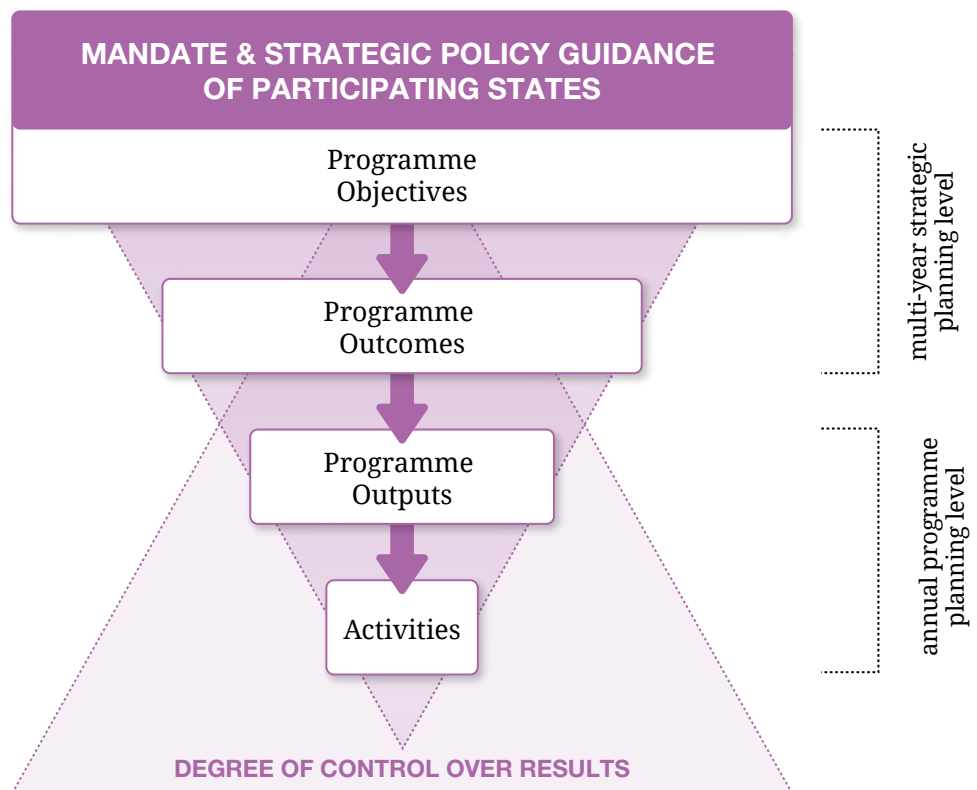
In OSCE programme management terms, an *objective* is at the highest level of the results chain. It is the intended end result, which the programme aims to support the beneficiary/host country in achieving over several years in line with the mandate and OSCE commitments. As such, objectives should reflect results that contribute to a “change in condition for the beneficiaries and their wider environment.”⁴ These results are outside the OSCE’s control, as the OSCE can only seek to *contribute* to the achievement of objectives, alongside other national and international actors who also contribute to the same nationally owned long-term results. For that reason, the OSCE formulates objectives at the programme level in terms, such as *to advise*, *to assist* or *to support* host country authorities. While the OSCE does not have full control over the achievement of the objective, it does have some level of influence. Setting out a clear M&E framework to track the extent to which support has been successful to contribute to a planned objective is therefore important.

One common challenge during the planning phase is ensuring that objectives are identified at the right level of the results chain. For instance, the objectives of programmes in the field of SSG/R are at times formulated as, “*to foster dialogue between civil society and security institutions*” or “*to enhance awareness among the police*.” However, these examples are not objectives. *Fostering dialogue* is an activity and *enhancing awareness* is an output. As such they should not be confused with objectives. In the SSG/R field, a long-term objective is the end result we want to achieve, such as enhancing the security of the population, which is frequently accomplished through reform activities that aim to increase the effectiveness and the accountability of the security sector. An example of a genuine OSCE programme objective might be “*to assist the host government in increasing the inclusivity of security sector governance*.”

4 Ibid, p. 98.

The second highest level of result after the objective is the **outcome**, which is a mid-term result generated by outputs. Although the achievement of outcomes may be affected by outside factors and not within the direct control of the OSCE, they should be within the reasonable influence of the OSCE.⁵ Outcomes often reflect behavioural or institutional change.⁶ One example of a change in behaviour might be that parliamentary security committees begin to play an active role in overseeing the security sector for the first time. An institutional change, on the other hand, might be an institution using new structures and processes to deliver services in a more accountable and effective manner.

Figure 1: Different levels of results in a programme⁷



5 Ibid, p. 22.

6 Outcomes could be further differentiated from immediate, short-term and mid-term outcomes (e.g., application of enhanced knowledge and skills leading to the change of policies, practices and then institutional behavior and performance).

7 Adapted from: Ibid, p. 23.

The level at which to place an outcome is contextual and depends on the cause-and-effect relationship of the different programme elements (i.e., activity, output, outcome, and objective). For instance, the same programmatic result “*establishment of a human resource management system*” may be put on a different level of the result chain depending on the logical framework matrix.⁸ If in one context, the OSCE has directly financed the establishment of a human resources management system for the police, this would be considered an *output*, as it does not reflect behavioural change but the goods delivered by the OSCE. This output, however, has the potential to lead to an *outcome*, if, for example, the police begin to use the human resource management system to enhance institutional efficiency and the internal accountability of its staff.

In a different context, however, the police may itself decide to introduce a human resources management system, as a result of OSCE policy advice or support provided through a feasibility study. In this case, the OSCE contributed to significant behavioural change and the same programmatic result (“*establishment of a human resource management system*”) can be thus considered an *outcome*. In most cases, a combination of several *outputs* is required to achieve one *outcome*. For example, as an outcome, the police introducing a human resource management system may require the following outputs: (1) increased awareness by the police of the importance for introducing a human resources management system and (2) increased skills among the police to facilitate the revision of internal processes necessary to support the new human resources management system.

The lowest level of results are *outputs*. They are specific products or services resulting from one or several OSCE activities.⁹ They are direct results of a combination of these activities, leading to immediate changes in knowledge, skills, awareness or processes. One example of an output of a training or workshop might be “*increased awareness of Ministry of Interior staff about the need for and benefits of a human resource management system.*”

Finally, there are *activities*. These are not results in themselves. Activities are required to transform inputs (time, resources) into outputs (i.e., products and services). An example of activity can be training, workshop, seminar, assessment, etc.

To demonstrate the formulation of SSG/R-related results at different levels, an example of an existing OSCE UB programme and two fictional examples of the logical frameworks (logframe)

8 The Logical Framework Matrix (logframe) is a visual project planning and management tool. It allows the main components of the project (programme objective, project objective, results and activities) to be organized and analyzed in a structured way. Logframe complements the Project Cycle Management method to form the methodological basis of project management in the OSCE. OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010), p. 6.

9 Ibid, p. 22.

from EXB projects are provided below.¹⁰ The EXB examples have been simplified for illustrative purposes; in practice, several activities may be needed to achieve an output, and several outputs are typically required to achieve each outcome.



For additional information, see:

- OSCE (2010), *Project Management in the OSCE: A Manual for Programme and Project Managers* (chapter 4)

Case Study 1



Programme of the OSCE Mission to Bosnia and Herzegovina (UB Proposal 2021)

- Objective: To support BiH in developing a better-governed security sector capable of effectively responding to contemporary and emerging threats and challenges to national and human security in accordance with OSCE commitments, norms, and principles.
- Outcome 1: Security sector actors design, lead and sustain effective governance and reform of the security sector.
 - Output 1: The capacity of BiH to comply with and report on politico-military and security commitments is supported, including through improved parliamentary and democratic oversight of security and defence.
 - Output 2: Governance and reform of the security sector are improved through support to enhanced inter-institutional co-operation and increased engagement of civil society, women and youth.
 - Output 3: The capacity of BiH to manage borders, respond to natural and human-made disasters, and address cross-border crime and threats emanating from cyberspace is increased.
- Outcome 2: Decision-makers and civil society use whole-of-government, whole-of-society, and human-rights-compliant approaches in addressing the threats of terrorism and violent extremism and radicalization leading to terrorism (VERLT).
 - Output 1: Strategic policy frameworks, mechanisms and programmes for preventing and countering terrorism and VERLT and for mitigating the risk of CBRN threats are improved.
 - Output 2: The capacity of security sector actors to effectively address the threat of terrorism in accordance with rule of law and human rights standards is increased.
 - Output 3: The capacity of authorities and civil society to effectively address VERLT by applying inclusive, co-operative and human rights compliant approaches is increased.

¹⁰ The presented log-frame matrix differs from the currently used OSCE's EXB project proposal template in differentiating between output and outcome results of a project. The OSCE project proposal template is currently being revised with the aim to include these new levels in results chain, aligning the terminology used in the OSCE with the international project management practices.

Logical Framework Matrix

Project Strategy						
UB Programme Objective	To assist host country authorities in providing responsive and inclusive security to all citizens, while fully meeting its international security commitments					
	Narrative Summary/Project Description/Result's Chain Narrative	SMART Indicators	Baseline	Planned Target	Means of Verification (MoV)	Assumptions
Project objective	To strengthen a more inclusive and respectful working environment towards women in the Police.	1. Percentage of women in the police force 2. Percentage of women working in the police force who consider their working environment good 3. Percentage of women in senior management positions 4. Number of complaints received from women about their working environment	1. 8% (2020 data) 2. 25% (2020 survey) 3. 10% (2020) 4. 100 (2020)	1. ≥13% by 2025 2. ≥ 65% by 2025 3. 25% (by 2025) 4. 50 (by 2025)	1. Police force statistics on recruitment 2. Surveys among selected police staff 3. Police records 4. Police records	Other security sector institutions in the host country support a more inclusive security sector governance.
Project outcome result 1	Inclusivity and respect are reflected as key values in the police's internal corporate culture.	1. Number of internal communication tools aiming at the promotion of <i>inclusivity</i> and <i>respect</i> within the working environment 2. Number of internal policies which promote <i>inclusivity</i> and <i>respect</i> within the working environment	1. 0 2. 0	1. ≥ 5 2. ≥ 5	Police codes of conduct, newsletters, staff instructions and guidelines, standard operating procedures, other internal communication products	Police staff are responsive to the values promoted by the corporate culture.
Project output result 1 (+ additional outputs)	Senior police managers are aware how to promote an inclusive and respectful working environment for women.	Percentage of senior police managers who correctly answer at least 80 per cent of the questions related to promoting an inclusive and respectful working environment for women	0	At least 70%	Pre- and post-training questionnaire	Senior police managers apply the knowledge gained.
Activity 1 (+ additional activities)	Training for senior police managers on promoting inclusive and respectful working environment for women.	Percentage of senior police managers who complete the training on inclusive and respectful working environment for women	N/A	At least 70% by 2025	Agenda and list of participants from a training, photo documentation	Senior police managers are available and interested in being trained.

Project outcome result 2	Gender parity in the police is strengthened.	Percentage of police recruits that are female	25% (in 2020)	50% (by 2025)	Police force recruitment statistics	<i>Women are interested in making a career in the police force.</i>
Project output result 2 (+ additional outputs)	Awareness of women about employment in the police force increased.	Number of women that are reached by the recruitment campaign	0	≥ 2 million in total (Facebook, LinkedIn, Instagram)	Metrics of the campaign reach on social media platforms	<i>Women are interested in applying for to work in the police force.</i>
Activity 2 (+ additional activities)	1. Development of a campaign communication strategy 2. Production of campaign materials	1. Existence of a campaign communication strategy 2. Existence of campaign materials	N/A	1. Yes (by 2022) 2. Yes (by 2022)	Communication strategy, campaign materials	<i>Police actively support and contribute to the campaign.</i>
Project outcome result 3	Equal opportunities for female officers within the Police are promoted.	Existence of direct or indirect gender-based discrimination within the HR policies on promotion	Yes	No (by 2025)	Report/assessment by an external oversight actor(s)	<i>Women police officers apply for higher positions within the police force.</i>
Project output result 3 (+ additional outputs)	HR policies on promotion are updated to remove any direct and indirect discrimination on the basis of gender.	Percentage of recommendations adopted from expert assessment	0	At least 80% (by 2024)	Updated HR policies on promotion	<i>The updated HR policies are implemented in practice.</i>
Activity 3 (+ additional activities)	Elaboration of an expert assessment of existing HR policies on promotion.	Number of policy recommendations issued	N/A	At least 10	Expert assessment reports	<i>Police leadership is willing to implement the expert recommendations.</i>
Preconditions	Willingness of police leadership to become more inclusive.					

Logical Framework Matrix

Project Strategy						
UB Programme Objective	To support the host country authorities in enhancing accountability of the security sector.					
	Narrative Summary/Project Description/Result's Chain Narrative	SMART Indicators	Baseline	Planned Target	Means of Verification (MoV)	Assumptions
Project objective	To enhance independent oversight of the security sector.	1. The public voices confidence in the functioning of the independent oversight of the security sector 2. Senior representatives of relevant state and non-state institutions consider that independent oversight of security sector is effective	1. 28% (2019 survey) 2. Low confidence (2020 needs assessment study)	1. ≥ 50 % 2. High confidence	1. Public perception survey 2. Semi-structured interviews with senior representatives of the Parliament, CSOs, academia, media	Increased oversight leads to more accountability in the security sector institutions.
Project outcome result 1	Parliament oversight of the security sector is increased.	Percentage of Parliamentary activities (hearings, monitoring visits) related to the security sector oversight	10% (in 2020)	20% (by 2025)	Schedule of the Parliament's activities, reports from Parliamentary meetings	Political parties are willing to hold security sector institutions accountable for their actions.
Project output result 1 (+ additional outputs)	Understanding of parliamentarians and parliamentary staff about security sector oversight is increased.	Percentage of parliamentarians and parliamentary staff trained that demonstrate enhanced skills and knowledge on parliamentary oversight of the security sector	None	At least 70%	Pre- and post-training questionnaire	Parliamentarians and parliamentary staff apply the knowledge gained.
Activity 1 (+ additional activities)	Delivering a training on parliamentary oversight of the security sector.	1. Percentage of parliamentarians who complete the training 2. Percentage of parliamentary staff who complete the training	N/A	1. ≥ 60% (by 2025) 2. ≥ 80% (by 2025)	Agenda and list of participants from a training	Parliamentarians and parliamentary staff are interested and available to attend the training.

Project outcome result 2	Capacities of independent oversight institutions to investigate human rights violations by security sector institutions are enhanced.	The percentage of investigations completed by the national human rights institution (NHRI) that involve security sector institutions	20% per year (in 2020)	40% per year (by 2025)	Statistics of NHRI	<i>Criminal justice system follows up on investigations by the NHRI.</i>
Project output result 2 (+ additional outputs)	Procedures to investigate cases of human rights violations by members of the security sector are updated.	NHRI endorses and adopts procedures to investigate human rights violations by security sector actors	None	Yes (by 2023)	Written decision/internal memo/policy guidance	<i>Public reports human rights violations by security sector actors.</i>
Activity 2 (+ additional activities)	Developing standard operating procedures (SOPs) on investigating human rights violations in the security sector.	Existence of SOPs in line with international best practices	N/A	Yes (by 2022)	SOPs	<i>Staff of the national human rights institution use SOPs in their work.</i>
Project outcome result 3	Civil society actors, the media and academia more actively engage in oversight of the security sector.	1. Number of publications/reports on the security sector published by national CSOs/academia increases 2. Number of media articles related to security sector increases	1. 3 reports in the period 2015–2020 2. ~20 (in 2015–2020)	1. ≥ 6 reports in the period 2021–2026 2. ~40 (in 2021–2026)	1. Reports published by CSOs and academia 2. Articles published by national media in print and/or online	<i>Political actors and security sector recognize the role of CSOs, media and academia as external oversight actors.</i>
Project output result 3 (+ additional outputs)	Awareness about the importance of security sector oversight among CSOs, media and academia is enhanced.	Percentage of participants who correctly answer at least 80 per cent of the questions related to the importance of external security sector oversight	Not known	At least 70%	Post-workshop test	<i>CSOs, media and academia are interested to research/write about security sector issues.</i>
Activity 3 (+ additional activities)	Four workshops with relevant CSOs, media and academia about security sector oversight.	1. Number of participants from relevant CSOs (disaggregated by sex) 2. Number of participants from media (disaggregated by sex) 3. Number of participants from academia (disaggregated by sex)	N/A	1. ≥ 30 (≥40% being female) 2. ≥ 30 (≥40% being female) 3. ≥ 30 (≥40% being female)	Agenda and list of participants from the workshops	<i>Representatives of CSOs, media and academia are interested and available to attend the workshops.</i>
Preconditions	The political will of key stakeholders to strengthen independent oversight of the security sector.					

2.2 The Theory of Change and Underlying Assumptions

A theory of change is a statement that explains why we think certain actions will produce outputs leading to the desired change in a given context. It outlines all the cause-and-effect relationships between the elements in the result chain and provides the narrative that explains the logic of the intervention applied.

A theory of change takes the logframe matrix one step further in that it offers a representation of the results chain, accompanied by a narrative to map and explain the various connections between each level of results. It acknowledges the non-linear nature of a results chain and the fact that there may be multiple strands that lead to a single result.¹¹ As such, a theory of change is particularly useful in maintaining the focus on long-term results and the changes required to achieve them. Moreover, it can help in understanding the complexity of SSG/R interventions, where multiple projects may be required to contribute to a single programme objective. A theory of change is also particularly useful in identifying ways that activities in different OSCE dimensions can contribute to a common overarching objective. Description of theories of changes should be as comprehensive as possible and gender-sensitive.

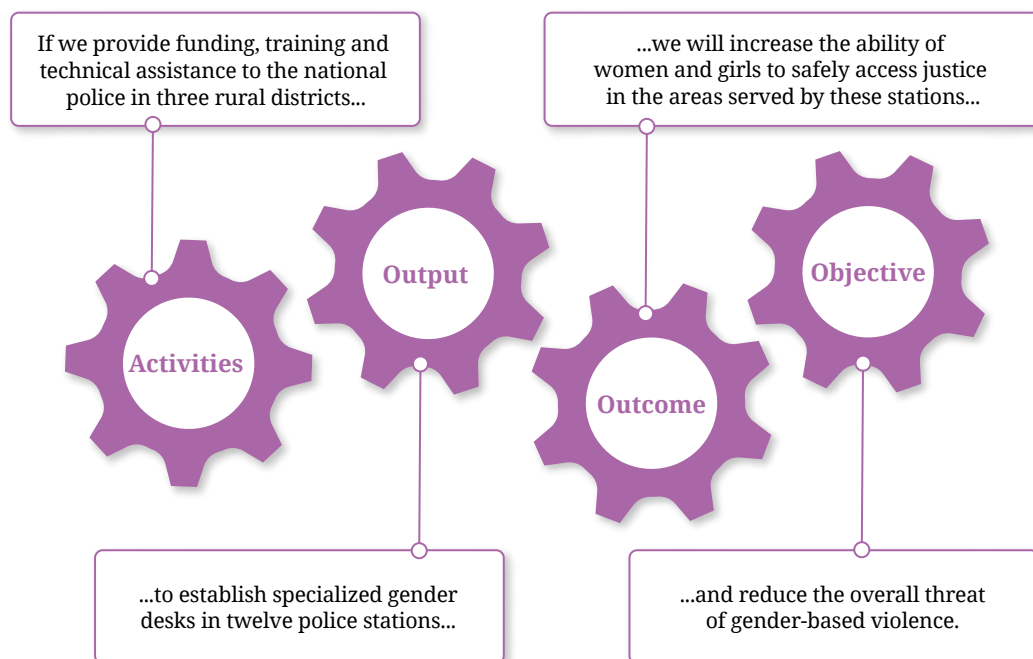
To develop a theory of change, OSCE staff should plan towards the intended objective and identify the kind of change needed for it to be realized. They should then plan for OSCE support by moving backwards along the results chain, determining the changes that need to be made for each result level to be attained. They should also reflect on the underlying assumptions of the theory of change; for each result, they should ask what assumptions need to be fulfilled for the next result to be achieved.

The theory of change for a project can be as simple as “if we conduct activity A to produce output B in setting C, the result will be outcome D, which will ultimately contribute to objective E.” For example, a simplified version of the theory of change for a project with the objective to reduce gender-based violence through increasing accessibility of police services for women and girls might be: *“If we provide funding, training and technical assistance to the national police in three rural districts (activities) to establish specialized gender desks in twelve police stations (outputs), we will increase the ability of women and girls to safely access justice in the areas served by these stations (outcome) and ultimately contribute to a reduction in gender-based violence (objective).”*¹²

11 Isabel Vogel, *Review of the use of ‘Theory of Change’ in international development* (UK Department of International Development, London, 2012).

12 This example was taken from Parsons, J., Gokey, C. and Thornton, M., *Indicators of Activities, Outputs, Outcomes and Impacts in Security and Justice Programming* (UK Department of International Development, London, 2013), p. 9.

Figure 2: A simplified example of a theory of change in an SSG/R project



In the field of SSG/R, as well as other fields, one challenge is the identification and description of assumptions about which activities will lead to positive short-, mid- and long-term change. However, as such assumptions are rarely tested during the planning phase and the situation in the course of implementation can change, certain activities and short-term results may not lead to the intended mid- and long-term changes. To mitigate this risk, OSCE staff can develop a theory of change to identify the sequence of results at different levels and the assumptions underpinning each causal link. The continuing validity of the assumptions established at the planning phase and risks identified for the theory of change should be regularly updated while implementing the programme and adjust the implementation.

Projects may operate on more than one theory of change. One theory might address the approach taken (methodology), while another addresses the choice of project participants or the timing of activities. Multiple theories of change can also be combined into a single statement: *"If we work with groups A, B and C and apply approach/methodology D at time E, we will achieve results F, G and H."*

Developing a theory of change consists of three main steps: (1) Identifying the expected or desired change/changes, (2) articulating how the changes will be made as a result of programming efforts, and (3) developing one or more *"If X then Y because..."* statements.



For additional practical guidance on developing theories of change and examples:

- ▶ Woodrow, P. and Oatley, N. (2013), *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes: Part I: What are they, different types, how to develop and use them*

2.3 Monitoring and Evaluation Framework

Monitoring and evaluation (M&E) is essential not only to promote accountability towards donors and beneficiaries but also to demonstrate how support leads to long-term results.¹³ Evaluations are important mechanisms for examining how outcomes (e.g., behavioural and institutional change) affect the end recipients of the services (e.g., the general public). The complexity of M&E requires appropriate planning and budgeting from the outset. An M&E framework should be thus established during the planning phase of a project or programme and be implemented throughout and after the implementation of activities. For M&E to be effective, sufficient financial and human resources need to be allocated.

An M&E framework builds on two key elements: the indicators, and the respective baseline and target. **Indicators** are quantitative or qualitative references that provide a simple and reliable means to measure progress and achievements.¹⁴ Indicators should be SMART (i.e., specific, measurable, available, realistic and time-specific) and be set for all levels of the logframe or results chain. Where applicable, indicators should be disaggregated by sex and other intersecting factors such as age. The aim of the indicators is to demonstrate that the project has completed its activities, delivered its intended outputs and outcomes and achieved its objective. The **baseline** provides a snapshot of the situation before the project is implemented and can be defined during a needs assessment.¹⁵ Baseline information is necessary not only to justify the relevance of a project but also to measure progress against the indicators and towards the set target. **Targets** may come from national strategies, policy documents, or negotiations with stakeholders. By the same token, monitoring is not just to measure progress against targets but to discover whether remedial actions need to be implemented when progress is behind schedule.

13 Monitoring is the “rapid, ongoing, continuous analysis of project progress towards achieving results with the purpose of improving management decision-making”; and evaluation is the “in depth analysis and assessment of overall performance of the project including the project’s relevance to the problems, effectiveness, efficiency, impact and in particular its contribution to a specific (...) objective.” OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010), p. 85.

14 Ibid, p. 40.

15 For more, see the chapter “Needs Assessments in the Field of SSG/R,” including the section 4.2.



For additional practical guidance on developing indicators, see:

- OSCE (2010), *Project Management in the OSCE: A Manual for Programme and Project Managers*, pp. 40–44
- DCAF (2010), *Measuring Security Sector Governance: A Guide to Relevant Indicators*
- Parsons, J., Gokey, C. and Thornton, M. (2013), *Indicators of Activities, Outputs, Outcomes and Impacts in Security and Justice Programming*

For M&E purposes, **means of verification** are important. They include *what* data is collected to measure progress on each indicator and against the baseline, as well as *how* and *when* the data is collected. Identifying appropriate means of verification and collecting necessary data can often be challenging, particularly in the field of SSG/R, because SSG/R interventions are often qualitative (e.g., increasing the population’s confidence in the police) rather than quantitative or because data is not publicly available. Moreover, some key data (e.g., numbers of victims of sexual and gender-based violence, levels of military expenditure or corruption) may not be accessible because they are considered too sensitive to share. Such challenges can impede both the establishment of baselines and the collection of the data required to measure progress against the indicators. Wide sources of data identified during needs assessments shall serve the basis for indicator setting and means of verification.¹⁶



For more information on how to collect and analyse data and how to carry out monitoring and self-evaluations, see:

- OSCE (2010), *Project Management in the OSCE: A Manual for Programme and Project Managers* (chapters 11 and 12)

For guidance on M&E in the area of SSG/R, see:

- Corlazzoli, V., and White, J. (2013), *Practical Approaches to Theories of Change in Conflict, Security and Justice Programmes: Part II: Using Theories of Change in Monitoring and Evaluation*
- UNDP (2014), *Why, What and How to Measure? A User’s Guide to Measuring Rule of Law, Justice and Security Programmes*

16 For more information on addressing these challenges, see the **subsection 3.8** below.

3. Programming and Monitoring for Results-Oriented Support

A number of elements need to be taken into account to successfully provide results-oriented support.

3.1 Identifying National Priorities through Needs Assessments

The mandates of the OSCE Executive Structures are set by the Permanent Council and are often broad. They are then translated through the application of PBPB methodology into concrete programmatic results – objectives, outcomes and outputs – which are defined in the UB Proposal. National priorities often inform the overall objectives of Executive Structures, in particular OSCE field operations. By aligning support to national priorities in the field of SSG/R, the OSCE can better provide demand-driven support that matches the real and evolving needs of the security sector and the wider population. National priorities should thus feed into the development of the OSCE's long-term objectives in the field of SSG/R.

An important tool to map national priorities in the field of SSG/R is the needs assessment process. Without a comprehensive needs assessment, it is impossible to understand and target the needs of the security sector and to ensure a sustainable long-term approach to SSG/R assistance. At the very least, national documents – such as national action plans and security policies – should be examined to determine whether clear priorities have been established. Needs can also be identified through consultations with national stakeholders, including the intended beneficiaries. In the SSG/R field, consultations require an inclusive approach that includes relevant ministries, oversight bodies, relevant security institutions, civil society organizations, women's and youth groups and other relevant actors involved in the reform process.¹⁷

On the basis of the needs assessment and the identified national priorities, concrete programme objectives should be defined that are in line with OSCE commitments and the specific mandates of Executive Structures. In cases where projects and programmes are ongoing, (self-) evaluations should be carried out and national priorities and needs periodically reassessed to avoid that support becomes path-dependent; for example, a similar type of support, such as training, may be continually provided because it provides visibility. Or the same group of stakeholders may be repeatedly engaged for years because they are willing to attend workshops. The OSCE

17 For more information, see the chapter “Needs Assessments in the Field of SSG/R.”

should also assess broader contextual changes and evolving needs, which it reflects in revised programming. Moreover, the OSCE should continue to hold regular consultations with national stakeholders, as a prerequisite for successful programming and implementation and, ultimately, towards sustainable long-term results.

3.2 Designing Interventions with a Focus on Long-Term Results

In line with the mandates of Executive Structures and national priorities, OSCE interventions should be designed in a way that they achieve different levels of results, which ultimately contribute to long-term sustainable change. The results chain of the intervention should be developed in accordance with the theory of change established by the Executive Structure and, when relevant, any theories of change defined for the UB Programme.¹⁸

OSCE programmes are thus implemented through *activities*, such as training or the provision of technical support, which produce specific *outputs*, such as increased awareness or enhanced capacities. These *outputs* will directly contribute to the specific *outcomes*, such as the use by national actors of the knowledge acquired through OSCE activities, for example, in developing new policies. Outcomes should contribute to achieving the overarching *objectives* set by the Executive Structure in a given context, such as increasing the accountability of security sector actors.¹⁹

To ensure that activities contribute to long-term results, OSCE staff should also identify the underlying assumptions of the intervention logic and, when possible, challenge them from the outset. Moreover, to prevent undesired negative effects, in the planning phase OSCE staff should identify how to manage risks that may arise during the implementation phase (e.g., if an underlying assumption proved to be wrong) and that could have unexpected effects on the results chain. Thus, to the extent possible, OSCE staff should challenge assumptions, monitor risks and develop risk-mitigation strategies. Finally, in line with the *2004 OSCE Action Plan for the Promotion of Gender Equality*, OSCE staff needs to ensure that gender perspective is integrated into OSCE activities, programmes and projects, including those related to SSG/R.



For integrating gender perspective in a project design, see:

- DCAF, OSCE/ODIHR and UN Women (2019), *“Integrating Gender in Project Design and Monitoring for the Security and Justice Sector” (Gender and Security Toolkit)*

18 For more details, see the [section 2.2](#) above.

19 For more details, see the [section 2.1](#) above.

3.3 Connecting Projects to Longer-Term Programme Strategies

OSCE uses the PBPB approach to plan, develop and manage its UB Programmes. UB Proposal organizes the work of OSCE Executive Structures into a number of UB Programmes that describe achieving short-term results (outputs), contributing to mid-term (outcomes) and long-term results (objectives). UB and EXB projects contribute to the achievement of the objectives of a UB Programme and, ultimately, to the political commitments of the Organization.²⁰

At the project level, planning often focuses on immediate or short-term results on the level of annual outputs – for example, activities like workshops and training. OSCE project design should move beyond short-term results, building on the fact that UB Programmes are planned with mid-term outcomes and long-term objectives in mind. As mandates and funding commitments are usually extended, it is necessary to plan for mid- to long-term results, even if they may take several years to materialize. To that end, when feasible, OSCE staff should develop multi-year programmes, which can be implemented through a series of annual plans, projects and activities.

At the project level, both UB and EXB, the logframe is used to map the main components of the project: UB Programme objective targeted, project objective, outcome, outputs and activities.²¹ These components can be complemented with a project-level theory of change that sets out how the project will contribute to the broader programme strategy. It may also be useful to test the related assumptions to ensure the feasibility of the project's contribution to the programme strategy.²²

To further strengthen the connection between projects and the UB Programme objectives, a memorandum of understanding (MoU) can be developed with national authorities to set out the mutually agreed long-term objectives of the OSCE's support. However, it needs to be recognized that the OSCE's contribution to achieving long-term objectives will also depend on the OSCE's continued presence in a host country and/or the availability of funds. EXB projects can cover multi-year engagements that contribute to long-term results. In contrast to UB projects that are funded annually, EXB projects can run for several years, making them well-suited to the development of mid- to long-term support strategies in the field of SSG/R. Although subject to different mechanisms than UB projects, EXB projects must still seek to contribute to the OSCE's overall objectives and can be integrated into an OSCE programme.

20 See more in OSCE, *Performance Based Programme Budgeting Orientation Guide* (Vienna, 2007); and OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010).

21 Any UB or EXB project has to contribute to a UB Programme objective.

22 See the [sub-section 2.2](#) on the theory of change.



For information on the OSCE approach to project identification and project development, see:

- OSCE (2010), *Project Management in the OSCE: A Manual for Programme and Project Managers* (chapters 5 and 6)

3.4 Engaging with Other International Actors in Support of Shared Objectives

Ideally, all international actors engaged in SSG/R work in a country should work in concert towards achieving the same mid- to long-term results, in line with national priorities. To that end, the OSCE should advocate for national actors to define long-term reform priorities and strategies for different parts of the security sector. The OSCE should also encourage national actors to take the lead in co-ordinating the implementation of national reforms, including donor co-ordination mechanisms. If no nationally-led donor co-ordination mechanisms are in place, the OSCE should encourage co-operation with other international actors to identify ways to contribute collectively to the achievement of national goals.

The OSCE can engage with relevant international actors (international organizations and agencies, embassies, etc.) through regular meetings or by organizing donor co-ordination mechanisms. Co-ordination is essential to eliminate gaps in support, to avoid duplicating efforts and to ensure joint messaging among international partners. Co-ordination is particularly important in the field of SSG/R due to the political nature of some SSG/R reforms. Therefore, strong co-ordinated messages from the international community are required, in particular, on the importance of national reform priorities that may be considered sensitive.

3.5 Supporting Cross-dimensional Collaboration within the OSCE

OSCE support will be more comprehensive and results-oriented when OSCE actors collaborate across all three dimensions of security. Cross-dimensional collaboration facilitates a move away from fragmented support (which may have limited results) towards the achievement of long-term results, which can be coherently supported from different dimensional perspectives. All OSCE Executive Structures should ensure that strategic objectives are identified in all three dimensions of security in order to provide support that achieves the greatest impact. Cross-dimensional needs assessments are useful tools to ensure that needs can be identified and addressed in all three OSCE dimensions.²³

23 For more, see the chapter “Cross-Dimensional Approaches to SSG/R.”

3.6 Supporting the Sustainability of SSG/R through National Ownership

Change is closely related to sustainability; if reform efforts are not sustained over a time, the results achieved will be lost and little change will be made. Sustainability can only be ensured if national actors have the willingness and capacity to keep up reform efforts. National ownership implies that national actors lead the reform process, which they must have the capacity to steer, co-ordinate, monitor and finance. According to the UN, national ownership rests upon four main pillars: a common national vision to guide the reform process, the capacity to implement and co-ordinate the reform process, financial responsibility of the reform process, and nationally-led monitoring and evaluation of the reform process.²⁴ The role of the OSCE and other international organizations is to support such nationally-led reforms.



For more detail on how to support national ownership of SSR, see:

- UN Inter-Agency SSR Task Force (2012), *UN SSR Integrated Technical Guidance Notes* (pp. 13–34)



24 UN Inter-Agency SSR Task Force, *UN SSR Integrated Technical Guidance Notes* (New York, 2012), p. 18.

Info Box 1



Approaches to Supporting National Ownership

Ensuring that OSCE support flows from national priorities: An important element of national ownership is a national vision of the security sector from which OSCE objectives can be identified. Needs assessments are important tools to identify priorities on the basis of national visions. Needs must also be re-assessed to identify changing priorities and to flexibly re-direct resources to areas where there is interest on the side of beneficiaries and thus the potential for impact.

Assessing national will to lead reform efforts: When engaging with national stakeholders and to build meaningful partnerships, it is important to make adequate assessments of national interests. Priority should be given to engaging with national stakeholders who can contribute to institutional change and who have a clear interest in reform. Such “champions of change” may play an important role in advocating for reform among other actors and in other parts of the security sector.

Supporting national capacities to lead reform efforts: In addition to identifying champions of change, it is also necessary to map national capacities to lead reform efforts. National actors should be encouraged to take the lead on various matters, notably on identifying national priorities for reforms, implementing reforms, establishing national and international co-ordination mechanisms on SSG/R, and monitoring progress in national reform implementation. It is important to ensure the sustainability of support for capacity-building by anchoring it in broader national institutional capacity-building strategies and incorporating it into the work of national training and capacity-building institutions.

Engaging national stakeholders in dialogue on OSCE support: National stakeholders must be engaged throughout the programme cycle, from needs assessments through to implementation and evaluation. Holding annual consultation meetings is a good practice, which will allow priorities to be jointly re-assessed against the evolving political and security environment. Other good practices include steering committee meetings with key partners and periodic presentations of results to national stakeholders. An inclusive approach requires the engagement of all relevant national stakeholders, including representatives of civil society, women’s groups, national minorities, and other relevant actors.

Supporting the engagement of civil society: A key principle of national ownership is inclusion, which means that the perceptions and needs of the general population are addressed, rather than only the needs of national authorities. This includes addressing the needs and priorities of different groups of women, men, boys and girls. In the long run, reform efforts that do not meet the real needs of all national beneficiaries are unlikely to be sustainable. To ensure inclusivity, dialogue between national authorities and civil society must be supported.

3.7 Complementing Long-Term Strategies with Quick-Impact Initiatives

While the OSCE should strive to ensure its support has a long-term impact and is sustainable, it may at times be necessary to invest in quick-impact initiatives that build confidence or prepare the ground for longer-term engagement. Such engagements are generally small scale, of immediate benefit to the population or key stakeholders and meet a targeted need. From an OSCE perspective, they may help to strengthen interaction with key stakeholders during design phase of a further project, thus building confidence for co-operation on future projects that may be more sensitive.

Case Study 2



Quick-Impact Projects as Part of the Community Security Initiative in Kyrgyzstan

Following violent inter-ethnic clashes in the southern Kyrgyzstan in 2010, the government of Kyrgyzstan requested the OSCE's support to help the police working in a multi-ethnic environment in protecting human rights and improving community-police relations. To respond to the crisis, the then OSCE Centre in Bishkek established the Community Security Initiative (CSI), which aimed to build confidence between law enforcement agencies and communities.²⁵ As part of the CSI, the OSCE sent unarmed international police officers to act as advisors in district police stations.

During the initial stages of the CSI, small-scale community initiatives were used to build confidence between the police and the community. For example, the OSCE helped to re-establish a police presence in remote areas by deploying mobile police receptions – customized minivans containing the basic equipment for a functioning mobile police station. After their introduction, police and community leaders increasingly used them as places to raise and discuss problems. Small-scale community initiatives, such as sports events, police open days and cultural celebrations, were used to re-build the bridges between communities and the police.

The support provided under the CSI was small-scale but matched local needs, as it was based on a thorough understanding of the specific challenges facing each community. This support also helped to build confidence between OSCE police advisors and their Kyrgyz colleagues, as well as constituents in their districts, thus strengthening their credibility and in turn facilitating a more effective provision of advice. The successes of these quick-impact initiatives also helped expand the CSI to other districts.

25 OSCE, *"The Community Security Initiative,"* 2012.

Quick-impact initiatives should be designed in consultation with the beneficiaries to ensure they have the intended effects. Needs assessments are important in identifying areas where such initiatives may be of value or where they may generate further engagement or change. As quick-impact initiatives should prepare the ground for longer-term sustainable engagement, they should be developed together with long-term strategies for support rather than in isolation. Adequate attention must also be paid to ensuring that short-term responses do not hamper long-term initiatives.

3.8 Monitoring and Evaluation for SSG/R Support

Effective M&E is essential to ensure that progress is regularly recorded and on track, risks are assessed and mitigated, the project is adjusted if needed and its contribution to achieving long-term results can be evaluated. To ensure that M&E supports the OSCE's contribution to long-term results, it must go beyond the level of outputs and focus on outcomes.

M&E should start at the planning stage along with the development of the logframe matrix and the theory of change. The theory of change and the design of the logframe matrix require the selection of a strategic objective (or intended change), and a process of working backwards to identify the results needed to reach established goals. Once the results have been identified, indicators need to be identified or developed that demonstrate the results to be achieved through the means of verifying them through qualitative and quantitative data. Potential assumptions and risks also need to be identified. At the OSCE UB Programme level, indicators are assigned to measure outcomes, which are used as internal planning and monitoring tools. At the project level, indicators should be assigned at all levels of the results chain. To maintain a focus on long-term results during project planning, it is useful to look at UB Programme-level outcomes and indicators and to consider how the project result will contribute to UB Programme outcomes and objectives.²⁶

Proper M&E can be challenging, for example, due to lack of resources to carry out monitoring and to identify and introduce remedial actions as and when needed. To ensure sufficient financial and human resources for M&E, it must be properly planned and budgeted for, and awareness raised about its importance. It can also be difficult to measure change because of the qualitative nature of SSG/R effects – for example, the population's increased confidence in the police. Moreover, relevant data – for example, on numbers of victims of sexual and gender-based violence, levels of corruption or military expenditure – may not be available because they are considered too sensitive to share. Furthermore, data may not be capturing all information needed for proper M&E (e.g., disaggregated by sex, age, ethnicity, etc.). The lack of readily

26 OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010), p. 40.

available data may hamper the development of baselines and impede the collection of the data required to measure progress. The following section offers guidance for planning M&E and mitigating some of the challenges mentioned.

- **Developing a baseline against which progress can be measured:** The baseline is the reference point against which progress can be measured. Ideally, such data should be identified prior to the start of a project, mainly, through needs assessments process using a wide range of sources. In some more complex cases, a project can include an early activity at the start of its implementation to carry out a baseline study, which will provide the baseline data against which the target can be set. In such cases, the project proposal document (logframe and M&E plan) should be updated with the newly acquired baseline data as soon as it is available.
- **Identifying sources of data to develop a baseline and to measure progress:** Data to be used in establishing baselines and in measuring progress against them can be gathered, for example, from national reports (e.g., a strategy implementation report) and statistics, international standards, and research papers. OSCE can also collect primary data through interviews, focus groups or public surveys. It can reconstruct broad baseline information from secondary data, such as civil society reports, assessments and reports by international actors or relevant national statistics. To enhance its credibility, any secondary data used should be assessed based on the period it covers as well as for accuracy and potential bias. Data can also be collected through observation, for example, by examining how parliamentary security committee hearings take place or how well minorities are integrated into the police services. To ensure that data is credible, it must be verified against multiple different data sources and data collection methods.



For more guidance about data collection, analysis and interpretation, see:

- OSCE (2010), *Project Management in the OSCE: A Manual for Programme and Project Managers* (sub-chapter 12.8)

- **Monitoring beyond outputs:** Monitoring at the project level shall track progress in conducting not only activities and the achievement of outputs as results but also the project's outcomes and objectives, including the project's contribution to the broader UB Programme strategy. At the UB Programme level, progress is generally monitored at the level of outputs, outcomes and objectives. At this level, monitoring outcomes is particularly important and requires an analysis of whether the outputs produced and provided have contributed to improved knowledge and skills leading to behavioural or institutional performance change. Additionally, monitoring should seek to assess to the extent possible whether outcomes are contributing to long-term results (objectives) that affect positive change for beneficiaries.

- **Clarifying the difference between activity indicators and output indicators:** Output indicators can easily be confused with activity indicators. Activity indicators merely show that activities have taken place, such as the number of people who attended a training on combatting hate crimes. Such indicators do not show whether the activity contributed to achieving a short-term result (output). Instead, the indicator should reflect changes in capacity, knowledge or processes – for example, the percentage of people who felt the training they received increased their ability to combat hate crimes.
- **Clarifying the difference between output indicators and outcome indicators:** While the level of results may depend on the context, a common problem occurs when output indicators are used to measure outcomes. For example, the skills acquired through training (output) may be used as an indicator of outcome, even if acquiring such skills has not contributed to broader behavioural or institutional change (outcome). To monitor the change from such an output, it would be necessary to examine whether the skills acquired have been applied more broadly and have resulted in improved practices and/or working methods. For example, for an output indicator such as *increased knowledge of international good practice among parliamentary security committee staff*, a corresponding outcome indicator might be *the extent to which parliamentary security committees have adapted their working methods in line with international good practice*.
- **Managing expectations about indicators:** While indicators are important in tracking progress, they are not able to explain why progress has occurred. They also require data collection and, therefore, have resource implications. For that reason, the number of indicators selected should be limited and include those that provide the best means to measure progress. To that end, indicators should be SMART (i.e., specific, measurable, available, realistic and time-specific). However, it may not always be possible to collect data that correlates directly to a specific indicator, in particular, at the objective level. In such cases, the use of indirect or *proxy indicators* may be required. For example, it may not be possible to directly measure the increase in security for marginalized groups. Instead, this might be indirectly measured through proxy indicators that combine the level of hate crimes against marginalized groups and their own perceptions of security. As proxy indicators may not fully capture the intended change, the data such indicators are based on and their limitations must be borne in mind.

Figure 3: Examples of possible SSG/R-related proxy indicators

PRINCIPLES OF GOOD SSG	POSSIBLE PROXY INDICATOR
Accountability and Transparency	▸ Accountability Index (Varieties of Democracy) ▸ Strategic Corruption and Governance Index ▸ Corruption Perceptions Index (Transparency International) ▸ Control of Corruption Index (World Bank) ▸ State Legitimacy Scale (Fragile State Index)
Effectiveness and Efficiency	▸ Number of police officers per 100,000 inhabitants (UNODC – Crime Trends Survey, Interpol, National Security Reports) ▸ Monopoly on the Use of Force (Bertelsmann Transformation Index) ▸ Government Effectiveness Index (World Bank)
Rule of Law	▸ Rule of Law Index (Varieties of Democracy) ▸ Rule of Law Index (World Bank) ▸ Political Terror Scale
Gender Equality	▸ Gender Inequality Index (UNDP) ▸ Women Peace and Security Index (Georgetown Institute for WPS and the PRIO Centre on Gender, Peace and Security) ▸ SHEcurity Index
Participation and Inclusivity	▸ Political Rights and Civil Liberties Ranking (Freedom House) ▸ Equal Protection Index (Varieties of Democracy) ▸ Voice and Accountability Index (World Bank) ▸ Civil Society Participation Index (Varieties of Democracy)
Responsiveness	▸ Security Apparatus Scale (Fragile States Index)

- **Developing quantitative and qualitative indicators:** With regard to SSG/R outcomes, qualitative indicators are sometimes better suited to capturing behaviour and institutional change than quantitative indicators. Unfortunately, quantitative indicators are often preferred because they are easier to measure or collect (e.g., from official statistics, external sources or measurement). While OSCE staff is most often advised to use a combination of quantitative and qualitative indicators, the choice of indicator should be influenced by the validity of indicator (i.e., it measures the underlying concepts as closely as possible), and data availability. For example, for measuring the improvement in investigation of hate crimes by applying international good practice, the quantity of hate crimes investigated by the police itself will not indicate whether the change in investigation practices occurred to be more in line with international standards and had a positive effect. Adding a qualitative indicator based on observation or interviews or survey can help to measure the feedback on the extent to which the investigations were now conducted in line with international good practice. The indicator should also be as specific as possible, hence formulation with reference to international good practices is too wide to use.
- **Incorporating the views of national stakeholders and beneficiaries in M&E plans:** For support to remain relevant, monitoring should incorporate the views of different national stakeholders and beneficiaries, for example, by engaging national actors in establishing indicators, on deciding what to monitor, in conducting focus groups with beneficiaries and in using national expertise to collect baseline data. Including gender perspective into monitoring can help reveal gender-related gaps and challenges, which can be then addressed by adjusting a project as needed. Consequently, the OSCE should promote continuous joint monitoring of progress. Joint monitoring mechanisms are also important in ensuring mutual accountability. To that end, project staff should organize regular co-ordination or steering committee meetings with beneficiaries and key donors to exchange information on progress and make any necessary adjustments to project implementation. Involving national parliaments in establishing benchmarks against which the achievement of SSG/R objectives can be measured is also good practice, in which the OSCE Parliamentary Assembly can play a facilitating role.
- **Integrating M&E into decision-making:** It is important to ensure that SSG/R support is in line with national priorities and is likely to contribute to long-term results. Doing so requires the ability to adjust OSCE support to changing circumstances and lessons identified. M&E provides important input into decision-making about implementation of reforms as it enables regular monitoring and the re-adjustment of projects and programmes in line with progress and lessons learned. Recommendations emerging from M&E may also feed into decisions about the development of new projects.

Case Study 3



The OSCE Mission to Serbia's Annual Implementation Review Meetings

In order to strengthen its dialogue with national stakeholders, in the framework of the multi-year Sweden-funded EXB project, the OSCE Mission to Serbia and its Democratization Department organize annual implementation review meetings to discuss the support provided over the past year and the lessons identified. The meetings gather together all project partners, including donor, state institutions, NGOs and academia. In addition to providing a formal mechanism for jointly discussing the type of support provided by the OSCE, the meetings also made it possible for the lessons identified to be fed into the project's further implementation, self-evaluation and future project design.

- **Evaluating SSG/R support:** Evaluations use not only the M&E data collected during project implementation and reporting but also information beyond that in order feed into the assessment, recommendations and lessons learned to be considered for future programme and project design. The OSCE defines four types of evaluation: *ex-ante evaluation*, *progress evaluation*, *final evaluation* and *impact evaluation* (see Figure 4). For all types of evaluation, the contribution of short-term results should be tested against the achievement of mid- and long-term goals. Evaluations at the OSCE can be conducted by externally hired experts (decentralized/commissioned evaluation) or by OSCE Secretariat's Office of Internal Oversight (OIO) following standard evaluation methodology.
- Evaluations in the OSCE adhere to the OECD DAC Evaluation Criteria of *relevance*, *effectiveness*, *efficiency*, *sustainability*, *impact* and *coherence*. When conducting an evaluation in the field of SSG/R, the criterion *relevance* can examine, for example, the principle of national ownership and ask, *"To what extent has OSCE assistance been provided in a way that supports national ownership and that is complementary to and co-ordinated with the implementation of national strategies?"* National ownership can also be explored from the perspective of *coherence* or *sustainability*.

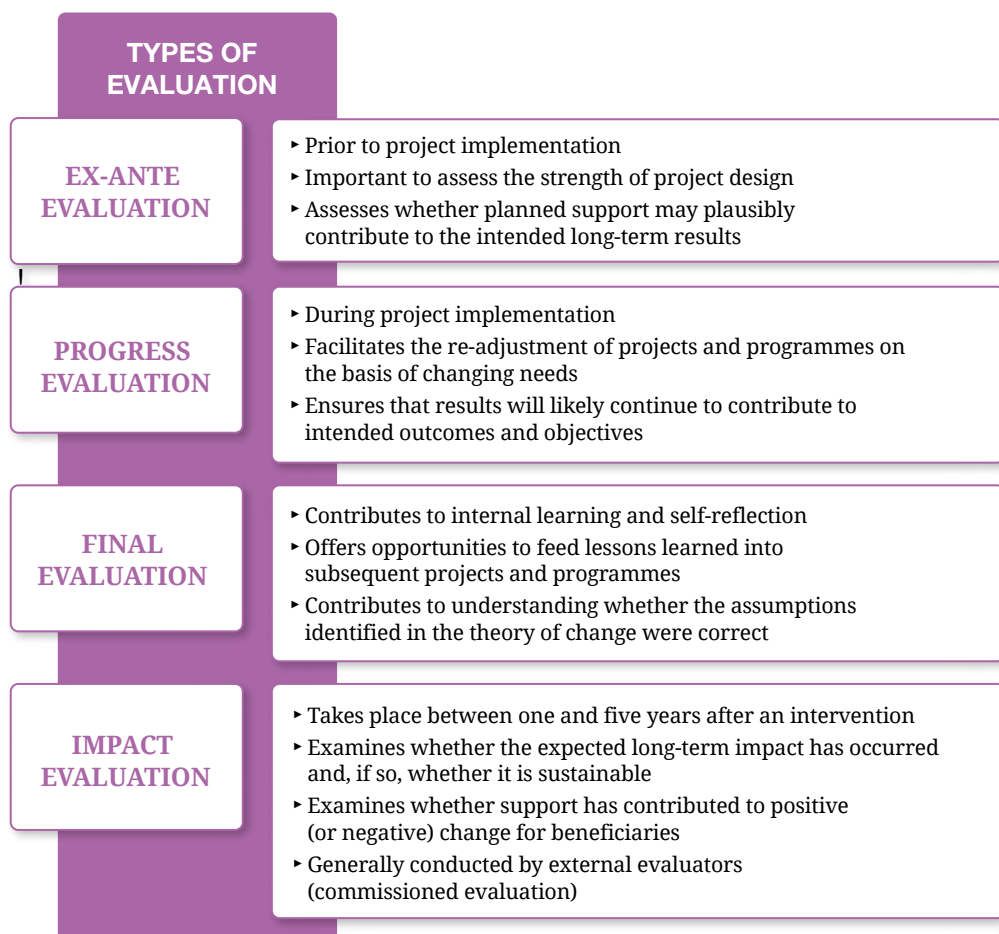
Depending on the objectives of a specific evaluation, other criteria can also be applied, such as the *OSCE's added value/comparative advantage* or *gender mainstreaming*. Not all criteria need to be used in every evaluation. The choice depends on various factors, including the purpose and objectives of the evaluation, available resources, and methodological considerations. In the SSG/R field, additional criteria for an evaluation may relate to, for instance, the extent to which the OSCE support was provided in line with the principles of good security sector governance.²⁷ These can include, for example:

27 For more information, see [section 2.2 in the chapter "Understanding SSG/R in the OSCE Context."](#)

- *Gender equality*: To what extent have the different security needs of women, men, boys and girls been reflected in the OSCE's SSG/R support? Have men, women, girls and boys benefited from long-term results? M&E data need to be disaggregated by sex to facilitate the analysis of different results for women, girls, men and boys.
- *Human rights*: To what extent have the perceptions of both duty-bearers and rights-holders been collected? M&E should thus include the perceptions of minorities.

In addition to any evaluation that may take place (be it a commissioned, external evaluation or one that is internally conducted by OIO), a Project Manager is required to prepare as a minimum, a **final project self-evaluation** as a final narrative report for each project, reflecting the complete set of M&E data, outlining how well the project achieved its planned mid- to long-term results and what lessons have been learned. Self-evaluation is different in nature from an evaluation as it is an internal reflective process, but it should aim to be as objective as possible.

Figure 4: Different types of evaluation



3.9 Overcoming Challenges towards Results-Oriented Approaches to SSG/R

In supporting results-oriented approaches to SSG/R, potential challenges include the following:

- **Lack of political support for results-oriented reforms:** SSG/R is a political process that can create changes in power balances. For this reason, political support may not always be available for the kinds of long-term reforms that will likely result in sustainable change. Instead, support may be limited to ad hoc activities, such as training and workshops. OSCE staff should identify opportunities to raise political support for long-term reforms. This may be done by using existing OSCE commitments as entry points (e.g., the OSCE Code of Conduct on Politico-Military Aspects of Security), by supporting regional workshops where it may be possible to address an issue that is too sensitive to discuss at the national level or by making use of the OSCE Parliamentary Assembly to provide political support.
- **Balancing national ownership with results-oriented approaches:** Even when political support is sufficient, a clear and necessary national vision for long-term reform may not exist. In such cases, the OSCE may be called upon to contribute to various different national reform efforts that do not necessarily contribute to an overarching long-term national goal. In such cases, the OSCE must strike a balance between promoting national ownership and supporting sustainable results-oriented reforms. While support should work towards long-term change, the responsibility to prioritize reform efforts lies with national actors. Sometimes small steps are needed to build confidence and raise awareness about the importance of long-term reform before more strategic issues can be discussed. Nonetheless, such steps should be framed within a longer-term OSCE strategy and should be reassessed if no progress is made towards long-term nationally driven reform.
- **Dealing with context-specific change:** Long-term change can take on different meanings in different contexts. Therefore, the same benchmarks cannot be transferred from one context to another. For example, drafting a national security policy may be considered a significant step forward in the reform process of one State. However, in another, the implementation of the national security policy would be a significant advancement. Similarly, the timeline needed for change may vary widely from State to State and from region to region. For this reason, contextual information needs to be included in relevant project documents to explain which reforms constitute progress and to provide the necessary baselines against which to measure change.
- **Dealing with unforeseen challenges:** Occasionally, new and sudden security challenges may emerge (e.g., a pandemic) that might slow down on-going reform processes or lead to reconsideration of reform priorities by national authorities. While OSCE's support to SSG/R should

be systematic and focused on long-term change, it should also be flexible to provide assistance to new emerging security needs on short notice, if needed. Although it is difficult to plan for such unforeseen situations, it is important to ensure that any OSCE assistance to the security sector considers how good governance principles can be promoted and mainstreamed.

- **Capacity of the beneficiary to deliver reforms:** If the beneficiaries of OSCE support lack the financial, human or technical capacities to deliver reforms, the achievement and sustainability of results can be hindered. While beneficiary capacities may be outside the OSCE's control – for example, because of staff rotation, remuneration or public budgets – some aspects may be mitigated if addressed in the project development phase. Needs assessments and long-term engagement with project counterparts are useful ways to identify and address capacity issues among project beneficiaries.

4. Results-Oriented Approaches in Different Types of Support

This section offers concrete suggestions and food for thought on how to implement results-oriented approaches to SSG/R support in the areas most commonly addressed in OSCE programming. Programmatic activities should thus be conducted in ways that maximize the potential to achieve long-term and sustainable results. Results can be best achieved when all types of support are connected to the overarching programme objective and when due consideration is given to enhancing the sustainability of results.

4.1 Developing Knowledge Products

The OSCE often develops and publishes knowledge products, such as guidelines and handbooks, which may be used to raise awareness or to support national actors in implementing reform efforts. The OSCE also supports the conduct of targeted mapping exercises and the development of assessments and monitoring reports for specific countries, when requested.

The impact of knowledge products can be increased by:

- **Ensuring that knowledge products have a clear objective:** Knowledge products that provide recommendations for national stakeholders on the basis of research and empirical evidence may help to increase the credibility of OSCE policy advice. They can also provide a good basis for capacity-building efforts. The development of such products should not be

done in isolation from other projects but, rather, as part of a broader contribution to an overarching objective.

- **Ensuring that knowledge products are relevant to needs:** When planning development of knowledge products, OSCE staff should ensure that national actors are interested in receiving such products and that there will be opportunities to apply the findings.
- **Involving practitioners in conceptualizing and reviewing knowledge products:** Knowledge products are often developed with the support of external experts, but engaging additional practitioners with relevant SSG/R expertise (e.g., police reform, border management, anti-corruption) from participating States or international organizations in the conceptualization and review phases can help to ensure the quality of the publication. As many knowledge products are developed by the OSCE Secretariat or Institutions, it is important to ensure involvement of OSCE field staff working in a given thematic area, especially if the product is being developed for a specific participating State or a sub-region (e.g., Eastern Europe, Central Asia, etc.).
- **Raising awareness of knowledge products, both within the OSCE and beyond:** While much effort is often invested in developing knowledge products, insufficient attention can be paid to raising awareness among the target group(s) of the products and how to use them. Therefore, planning for the development of knowledge products should also include which target group(s) should receive them, how awareness will be raised about the products, the languages they may need to be translated into and whether training will be necessary to support their use. These aspects should be included in the budget for knowledge-product development from the outset.
- **Monitoring and evaluating the use of knowledge products developed:** Efforts should be made to evaluate whether the products developed are being used by the intended audience and that their use is contributing to positive change. Monitoring can be done through questionnaires that request information from the target audience on the use of the knowledge product or by observing whether the recommendations made within them are being applied.

Case Study 4



OSCE Guidebook on Intelligence-Led Policing

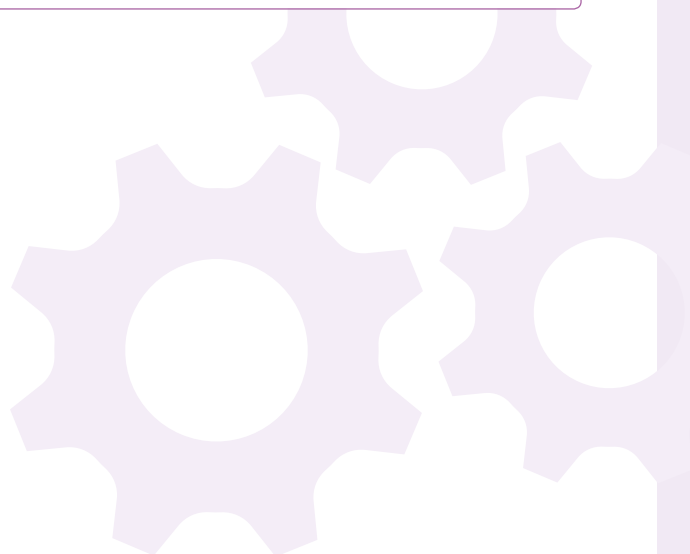
The OSCE Guidebook on Intelligence-Led Policing was developed by the OSCE Secretariat's Transnational Threats Department (TNTD) between December 2016 and July 2017. Some 35 law enforcement experts nominated by OSCE participating States provided in-kind support, as did experts from the TNTD's main partner organizations, Interpol, Europol and UNODC.

The experts took part in a two-day workshop where they discussed conceptual issues related to the intelligence-led policing model and agreed an outline for the guidebook. After the workshop, the experts continued to support the drafting process during three dedicated working groups by reviewing drafts and providing subject matter expertise on specific chapters.

The drafting process was preceded by a thorough desk research of existing materials, which was crucial in conceptualizing the guidebook. While involving experts from participating States and partner organizations posed some logistical challenges, their input was invaluable in ensuring the high quality and relevance of the publication. Their involvement also contributed significantly to the wide acceptance and endorsement of the guidebook, which was essential in ensuring its practical use by national authorities.

Given the OSCE's geographical diversity, a key challenge was to identify a common terminology, as some terms and concepts related to intelligence-led policing have different meanings in different cultural contexts or do not exist at all. To this end, agreeing on a common approach to conceptualizing the OSCE-recommended intelligence-led policing model before starting the drafting process was essential.

Since its publication, the guidebook has been translated into ten languages. It has provided a basis for TNTD's national and regional workshops across the OSCE area and has been used by law enforcement agencies, police training institutions and other international and regional organizations.



4.2 Promoting Norms and Good Practices

The OSCE often supports workshops, seminars, conferences and study visits to raise awareness of OSCE commitments, as well as other international norms and good practices relevant to the security sector.

Impact in promoting norms and good practices can be increased by:

- **Ensuring that events and study visits are a means for contributing to broader objectives:** At times, various types of events and visits are supported as if they themselves were the objective, when they are rather a means of contributing to achieving a change. Therefore, events and study visits should not be conducted in isolation but should take into account the theory of change and the overall aim of the programme/project concerned, complementing other activities that contribute to the programme/project objective. This may require, for example, that a follow-up action to events/visits should be planned for and budgeted. Thought also needs to be given to how to support in-depth discussions during events/visits about reform needs, which are in line with OSCE commitments or other international norms and good practices.

Concrete recommendations and agreements reached at events/visits on how to move forward are key outputs (goods and services delivered directly by the OSCE). Each event or visit is a project activity, which requires to be a building block of the theory of change, with well formulated expected results. These elements could be captured in terms of reference and asked to be tracked. In particular for study visits, the positions of participants must be relevant to the visit's purpose; participants should have decision-making authority or be drivers of change and they should be encouraged to report back in a formal manner to disseminate the knowledge acquired and follow up on any next steps. The OSCE should actively encourage nomination of qualified women participants.

- **Considering how to engage national stakeholders in the organization of events:** National stakeholders may have the capacity and desire to (co-)organize events. To increase sustainability and to strengthen national ownership, the OSCE should support the organization of events by national stakeholders rather than taking the lead. Civil society organizations may also have the capacity and interest to engage in the organization of such workshops, although in some cases the context may be too sensitive for them to take the lead.
- **Tailoring the content to practical needs:** Events that promote norms should be as practically oriented as possible. Accordingly, good practices include engaging practitioners from other participating States, showcasing concrete case studies and highlighting operationalization of norms and principles. Allowing adequate time for participants to discuss issues of concern and share their own experiences is also a useful way to ensure that practical issues are raised, addressed and followed up on.

- **Considering the regional dimension:** Adding a regional dimension to events can have advantages in enabling discussions on issues that are broader than the national context. They can also facilitate the exchange of experiences, good practices and lessons from the reform processes within a given region and encourage similar processes among neighbouring countries.²⁸
- **Monitoring and evaluating the support provided:** Events and visits supported by the OSCE should be monitored as to whether or not they have generated concrete recommendations or agreements, and the degree to which these are being followed-up. Activities that do not lead to changes in practices should not be repeated without considering how to increase their impact.

4.3 Providing Advice for Legislative Reform Processes

The OSCE may be requested to review the law-making process in a participating State, to comment on a particular law related to the security sector or to support the subsequent implementation of laws. The OSCE's recommendations assist participating States in ensuring their laws comply with OSCE commitments and other international standards. Such recommendations are often provided by OSCE field operations or by ODIHR, often jointly with the Council of Europe's European Commission for Democracy through Law (Venice Commission).

The impact of advice for legislative reform processes can be increased by:

- **Providing comprehensive support:** Planning support for a full legal cycle can help to increase impact. Such support may include performing legal reviews, providing direct support to the drafting body, supporting peer-to-peer communication to exchange lessons on implementing the law, providing capacity-building for relevant stakeholders to implement the law, and monitoring the implementation of the law after it has been passed by parliament.
- **Engaging directly with legislators:** Experience shows that the OSCE's advice for legislative changes has a greater impact when the OSCE directly advises law drafters and legislators, as appropriate, or participates in the working groups or commissions responsible for drafting laws. Direct interaction with those drafting the legislation can help to ensure that the legal advice is well received and that local realities are adequately reflected in the advice provided.
- **Promoting assessments of the potential social and financial impact of legislation:** The OSCE should promote and support impact assessments of potential legislative amendments. Assessments of the potential social and financial impacts of a law should be undertaken at

28 For more details, see the chapter "Strengthening Regional Co-operation on SSG/R."

an early stage of the drafting process so that legislators can consider whether the legislative amendments are feasible in practice and if they are sustainable. Accordingly, it is helpful to identify at an early stage the financing and capacity-building required to implement the law.

- **Monitoring and evaluating the impact of the advice provided:** The OSCE should monitor the extent to which its advice has been taken on board by national actors. Monitoring should consider not only the support provided in the legislative drafting process (e.g., whether the OSCE's support was considered relevant and led to legislative amendments) but also the implementation of new or amended legislation (e.g., if the OSCE's support led to a positive change or in case there are any unintended side effects). If a country is lagging behind in implementing legal amendments, the OSCE may consider supporting follow-up activities that will assist the responsible authorities with implementation in a sustainable way over time.



For advice on how to request legislative assistance from ODIHR, see:

▸ OSCE/ODIHR (2018), *Requesting Legislative Assistance from ODIHR*

4.4 Providing Policy Advice

Providing policy advice to a participating State is an effective way to support its reform efforts. Policy advice can take many forms, including advice on the possible options for reform, on the review of national plans or on strategy development.

The impact of policy advice can be increased by:

- **Mapping the national context:** Policy advice needs to be specific to the national context. A better understanding of local specificities can be gained by mapping the national context through situation analyses and needs assessments.²⁹
- **Engaging with other international actors:** Policy advice has a stronger impact if it is agreed and harmonized by all or the main international actors present in a country/ active in that policy field. OSCE staff should co-ordinate with relevant international actors to communicate policy priorities and to ensure consistency in messaging.

²⁹ Needs assessment is the process of identifying the needs of a community, institution, region or country, analyzing the causes and effects of their problems and evaluating strategic solutions to address them. Situation analysis is one of the steps of needs assessment. It is review of the political, social, cultural, historical, institutional and legal context that will affect the project. Situation analysis identifies the key factors affecting the project, including risks and opportunities. Situation analysis thus feeds into stakeholder and risk analyses. OSCE, *Project Management in the OSCE: A Manual for Programme and Project Managers* (Vienna, 2010), pp. 28–29.

Case Study 5



Increasing the Representation of Women at All Levels of Policing in Montenegro

In 2020, the OSCE Secretariat's Transnational Threats Department (TNTD) in close co-operation with the OSCE Mission to Montenegro assisted the Montenegrin Police in conducting an in-depth analysis to better understand the opportunities and challenges associated with women's meaningful participation at all levels of policing. The analysis drew from national legal and policy frameworks, previous research, interviews/key-person meetings and focus groups with employees of the Police and relevant stakeholders. A [summary document](#) included a set of concrete recommendations on how to increase the number of women at all levels of policing and enhance their meaningful participation.³⁰

Particular attention was paid to securing the commitment of beneficiaries from the beginning of the process, by consulting them on the methodology and during the drafting of the recommendations. As a result, they confirmed that the proposed measures cover all aspects raised during the assessment and are relevant, feasible and actionable.

One of the challenges was ensuring that the beneficiaries will implement the proposed recommendations. In this sense, the involvement of the Mission during the assessment was crucial, as they will work closely with the beneficiaries on the implementation of the measures proposed in the final document. For example, one of the recommendations was to conduct a public awareness campaign on the role of women in the police, to encourage them to pursue a career in this field. The Police Directorate and the Police Academy, with the Mission's support, launched a campaign in spring 2021 in connection with a call for enrolment of new police cadets. The set of materials included a [brochure](#) and a poster with information about employment opportunities for police officers, and [six 30-second videos showcasing](#) how a police career can be an attractive employment opportunity for women.

- In 2021, TNTD in co-operation with the CPC and the OSCE Project Co-ordinator in Uzbekistan will implement a similar project for the Uzbek Police. **Encouraging an inclusive approach to policy making:** The implementation of policy changes will likely affect a wide range of stakeholders in different ways, due to intersecting factors such as age, sex, social class and ethnicity. Therefore, it is essential to encourage an inclusive approach to policy making among all relevant national stakeholders, such as representatives of civil society, women's groups, national minorities and others. To ensure sustainability, dialogue on policy making should be extended beyond the capital to the regions, as there are often vast differences in the challenges faced by citizens in urban and rural areas.

30 For more, see OSCE, *Increasing and Supporting the Participation of Women at all Levels in the Montenegrin Police: Key Findings and Recommendations* (Vienna, 2021).

- **Advocating for adequate budgeting and monitoring:** When providing policy advice, the OSCE should ensure that national actors are aware of the financial implications of the reform activities planned. For example, the OSCE can advocate for the development of an implementation plan (incl. budget) that will accompany the development of new laws or policies. Moreover, the OSCE can advocate for the development of a national monitoring framework to track the implementation of new policies and plans.
- **Monitoring and evaluating the impact of the policy advice provided:** In evaluating the policy advice provided by the OSCE, an important element is how far it has contributed to national policies in line with OSCE commitments. For example, the OSCE can evaluate the extent to which national policy documents correspond with the norms and good practices that the OSCE promotes. The implementation of national policies should also be monitored, so as to identify areas that may require further capacity-building or advocacy efforts.

4.5 Capacity-Building

Strengthening national capacities is crucial in supporting long-term and sustainable reform led by national actors. Capacity-building may include the development of individual skills – for example, through training – or support to broader institution building, such as the establishment of structures and processes.

The impact of capacity-building can be increased by:

- **Embedding capacity-building initiatives in long-term institutional reform strategies:** Capacity-building should not only aim to improve individual performance but also be integrated into a long-term reform framework at the institutional/organizational level. It is thus necessary to consider how capacity-building will be connected to broader structural changes. In the case of training, there should be an agreement with beneficiaries on how to institutionalize it and make sure it is not a one-time activity – for example, through training of trainers or by incorporating training content into the curricula of national training institutions.
- **Increasing the impact of training:** Every training should have clearly defined SMART learning objectives as well as learning outcomes for each individual module/session. The training methodology needs to be based on adult learning theory, including participatory training, in which trainees are actively engaged in the learning process. A good training package should consist not only of presentations but also of a training manual, a trainer's guide and practical handouts. A preparatory e-learning course or pre-reading material that covers theoretical aspects should be also included, as these allow more time to be dedicated to practical exercises and discussions during the training sessions.

To determine the training's immediate impact, pre- and post-training evaluations need to be conducted to measure participants' knowledge and skills, both prior to and after the training. Pre- and post-training evaluations need to be designed with similar scope or format for results to be comparable. To increase participant responses, such tests should be anonymized, for example, by using nicknames or numbers on answer sheets.

When applicable, a training-of-trainers approach should be considered to build a pool of competent instructors who can then teach the material to a wider audience. A good practice in this regard is to involve relevant national training institutions (e.g., police or judicial academies) in security sector training, even if they are involved only in a supporting or observing role. Finally, the impact of training can be increased by complementing it with additional support, in particular, mentoring or the establishment of an informal network of training participants.

- **Managing turnover in trained experts through candidate selection:** One common challenge is turnover in trained staff, which limits their ability to transfer newly acquired skills within the structure originally targeted for capacity-building. One way to mitigate this risk is to require a commitment from national stakeholders that the staff to be trained will continue in their current positions for a certain period of time so that they can apply and transfer the skills acquired. A clear selection method and terms of reference should be developed to ensure that the participants nominated have the relevant experience and interest to strengthen their skills and that they will have the opportunity to apply them. The establishment of alumni networks of experts and officials engaged in SSG/R could also contribute to sustainability in this area.
- **Monitoring and evaluating the impact of the capacity-building provided:** All capacity-building support should be regularly monitored and evaluated. Unsuccessful capacity-building activities should be thoroughly redesigned, involving all relevant stakeholders and focusing on all stages of the capacity-building process. With regard to training courses, their evaluation is often limited to the number of participants, but they should instead focus on whether the knowledge and skills of participants have increased and are being applied. Time-delayed surveys (e.g., six months following the training) are a good practice in obtaining such information. Questionnaires for the supervisors of participants about the changes they have observed in their trained staff are also useful in evaluating impact. In addition, such questionnaires can help to increase awareness among supervisors of the staff that received training and the potential they might have to contribute to broader institutional reform. When evaluating training, the extent to which individual training has contributed to broader institutional reform processes should be also assessed.



For guidance on the role of capacity-building in police reform, see:

- Harris, F. (2005), *The Role of Capacity-Building in Police Reform*

Case Study 6



Evaluating Capacity-Building in the OSCE

In 2018, OIO carried out a cross-organizational thematic evaluation of capacity development and learning activities delivered by the OSCE. The following key lessons were identified, which can guide future learning and capacity development activities:

- Interactive and experiential forms of learning are optimal for knowledge gains and skill-building when they are used in combination with formal learning. When the balance is tipped too far in favour of social and experiential learning, effectiveness and efficiency of knowledge transfer seems to decrease.
- Social and experiential learning methods might be more effective in fostering changes of beliefs and attitudes among learners and in challenging deep-seated stereotypes.
- Decisions to use highly interactive methods within larger projects should be carefully weighed against issues of sustainability, efficiency and the potential to achieve the same results using other methods.
- Short-term outcomes (changes in knowledge and attitude) often lead to changes in practice (mid-term outcomes), but the kinds of capacity development projects implemented by the OSCE often lack clarity about how to achieve longer-term results that lead to institutional change and impact.
- Project designs often lack plans for how participants will become leaders in their own institutions and transfer the acquired knowledge, skills and attitudes to others.
- Capacity development projects would be better served if they set fewer and more concrete training objectives and were more strategic in meeting them.
- Formal training should complement (not replace) social and experiential learning. The OSCE needs to better support counterparts in establishing comprehensive learning mechanisms.³¹

31 For additional details, see OSCE, *2019 Synthesis Report on the Evaluation of Capacity Development and Learning* (Vienna, 2019).



5. Checklist

The following checklist is intended to help programme/project management staff to:

- Plan for results-oriented programming, monitoring and evaluation of SSG/R support;
- Implement results-oriented approaches in different types of SSG/R support.

The purpose is not to “check” every item, but to provide an aide-memoire to consider key aspects and suggestions that might be relevant for your daily work.

Planning for results-oriented programming, monitoring an evaluation

Identify national priorities in the field of SSG/R

- ☐ Have national priorities been identified and used to inform the development of long-term OSCE objectives for SSG/R support?
- ☐ Has a comprehensive needs assessment been conducted?
- ☐ Have relevant national documents (e.g., national strategies and action plans) been examined?
- ☐ Have all relevant national stakeholders, including intended beneficiaries, been consulted in an inclusive manner?

Design interventions with a focus on long-term results

- ☐ Have objectives, outcomes and outputs been set at the right level of the results chain?
- ☐ Have relevant SMART indicators been identified for each level of the results chain?
- ☐ Have baseline and targets been set for all indicators?
- ☐ Have adequate and available means of verification been identified for each indicator?
- ☐ Has a theory of change been developed to highlight the sequence of results and the assumptions underpinning each causal link?

Connect projects to longer-term programme strategies

- ☐ Have the long-term results (objectives) for SSG/R support been set?
- ☐ How are different OSCE projects in the field of SSG/R contributing to the long-term results?

Engage with other international actors in support of shared objectives

- ☐ Is international support co-ordinated and contributing to the achievement of the same national long-term SSG/R priorities?
- ☐ Are any nationally led co-ordination mechanisms in place to support such priorities?
- ☐ Has consideration been given to engaging with other international actors to co-ordinate messages and to ensure policy advice is harmonized?

Support cross-dimensional collaboration within the OSCE

- ☐ Are projects/programmes contributing to overall objectives that are supported in and by all three dimensions of security?
- ☐ Has a cross-dimensional needs assessment in the field of SSG/R been considered?

Ensure the sustainability of SSG/R support through national ownership

- ☐ Have the objectives of OSCE's SSG/R support been mutually agreed with national authorities (e.g., through a MoU)?
- ☐ Have relevant national stakeholders, including civil society, been engaged in a dialogue on the OSCE's SSG/R support throughout programme/project cycle?
- ☐ Are national actors willing to sustain reform efforts and do they have the capacities to do so?
- ☐ Have national stakeholders, who can contribute to institutional change and have interest in the reform process, been engaged?
- ☐ Has any support to enhance national capacities to lead reform efforts been provided?
- ☐ Are projects/programmes readjusted in reaction to monitoring and evaluation results?

Recognize the need to complement long-term strategies with quick-impact initiatives

- ☐ Have short-term or quick-impact initiatives to build confidence and lay the foundation for a longer-term sustainable engagement been considered?

Plan to monitor and evaluate SSG/R support

- ☐ Has M&E been planned from the outset?
- ☐ Has a baseline for each SMART indicator been developed against which progress can be realistically measured?
- ☐ Have both quantitative and qualitative SMART indicators been considered?
- ☐ Have adequate and available sources of data been identified for M&E purposes?
- ☐ Is progress monitored beyond outputs and focuses also on outcomes?
- ☐ Have national stakeholders been involved in M&E?
- ☐ Have mechanisms been set to ensure ongoing M&E efforts feed into decision-making?
- ☐ Has an independent evaluation of SSG/R support been planned and budgeted for?

Implementing results-oriented approaches in different types support

Developing knowledge products

- ☐ Ensuring that knowledge products have a clear objective;
- ☐ Ensuring that knowledge products are relevant to needs of security sector institutions;
- ☐ Facilitating the involvement of practitioners in conceptualizing and reviewing the products;
- ☐ Raising awareness of the products, both within the OSCE and beyond;
- ☐ Monitoring and evaluating the use of knowledge products developed.

Promoting norms and good practices

- ☐ Ensuring that events (e.g., workshops, study visits, conferences) are perceived as a means to achieving broader objectives;
- ☐ Predefining (possibly in terms of reference or a concept note) the purpose, the targeted audience and the follow-up for events;
- ☐ Engaging national stakeholders in organizing events;
- ☐ Tailoring the content of events to practical needs;
- ☐ Considering the regional dimension when organizing events;
- ☐ Monitoring and evaluating any follow-up to events.

Providing advice for legislative reform processes

- ☐ Providing comprehensive support by planning the support for a full legal cycle (i.e., drafting, implementation, capacity-building);
- ☐ Engaging directly with legislators as appropriate;
- ☐ Promoting and supporting assessments of the social and financial impacts of new legislation;
- ☐ Monitoring and evaluating the impact of the advice provided.

Providing policy advice

- ☐ Mapping the national context through situational analyses and needs assessments;
- ☐ Engaging with other international actors;
- ☐ Encouraging an inclusive approach to policy making;
- ☐ Advocating for adequate budgeting and monitoring;
- ☐ Monitoring and evaluating the impact of the policy advice provided.

Capacity-Building

- ☐ Embedding capacity-building initiatives in long-term institutional reforms strategies;
- ☐ Defining clear objectives and using adult learning theory and participatory learning methodology;
- ☐ Managing turnover in trained experts through candidate selection;
- ☐ Monitoring and evaluating the impact of the capacity-building provided.



6. Resources

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- ▶ Woodrow, P. and Oatley, N., *Practical Approaches to Theories of Change in Conflict, Security & Justice Programmes: Part I: What are they, different types, how to develop and use them* (London: Department for International Development, 2013).
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