



# **Institute for Security Studies**

## **Strategic Plan 2012-2015**

Version 3  
August 2012

Updated by MANCO on 7 August 2012 with the inclusion of the revised institutional goal hierarchy and the decision to relocate work on corruption and governance to Pretoria, effective January 2013.

**Knowledge empowers Africa!**

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## FOREWORD

The ISS strategy for 2012–2015 follows that for 2008–2011. Both were developed through lengthy and consultative processes that each lasted more than a year.

The process to develop the 2008–2011 strategy started mid-2007 and concluded in 2008. The purpose of that strategy was to meet the challenges of growth and to establish the Institute as a truly pan-African organisation, culminating in the establishment, at the end of 2010, of the Dakar office. Reflecting the focus on growth during this phase, three of the four strategic priorities for this period were internally focused, although ranked in order of importance:

1. Ensure greater impact on human security issues in Africa and associated policy, and ensure the ability to influence stakeholders
2. Ensure financial growth and sustainability
3. Ensure our processes are efficient and effective
4. Ensure a motivated and knowledgeable staff

A key part of that strategy was to establish a separate head office in Pretoria able to oversee and manage the expansion of the organisation – a development that was reversed early in 2012 when the Pretoria and head offices merged. The challenge now is to manage the Institute cost effectively and efficiently in pursuit of clear results and impact at a time when international development assistance to Africa-based organisations are much more constrained than during the previous strategic period.

Our offices in Addis Ababa and Nairobi originally exploited technical implementation opportunities working with the Intergovernmental Authority on Development (IGAD) (on counter-terrorism) and the Eastern African Police Chiefs Cooperation Organisation (EAPCCO) (on combating cattle rustling and environmental crimes) respectively. As a result these offices expanded quite rapidly at start-up and thereafter contracted when the technical implementation work in both offices concluded and ISS engagement reverted to more traditional policy research and advice. The office in Dakar established at the end of 2010 followed a different pattern, and was established after a scoping visit to various alternative locations – now seeking support for work on conflict prevention/risk analysis and international threats/crimes as two specific areas

of work. In doing so the Institute has to work across the vast distance, both physically and culturally, that separates francophone West Africa from the traditional scope of ISS work in southern, eastern and the Horn of Africa.

Much of what follows in these pages reflects a focus on being clear about the impact of our work. During 2008–2011 the Institute started with efforts to harmonise its areas of focus – eventually grouping the impact of the work being done by some 14 programmes and various secretariats into 7 so-called ‘result areas’. The 7 result areas (upon which we reported until the end of 2011) were as follows:

- ❑ Early warning, research and analysis effectively used to prevent and respond to crime and conflict in Africa
- ❑ The governance and management of African security sector and peace support operations improved
- ❑ African post-conflict reconstruction policies and practices are improved
- ❑ The control of arms in Africa is improved
- ❑ African interventions to deal with international and transnational organised crime are improved
- ❑ Corruption is reduced and democratic government in Africa is improved
- ❑ African natural resources and environmental governance and management are improved

Our strategy for 2012–2015 presents further and significant progress in pursuit of a focus on results and impact – reflected in the identification of five key result areas that inform all Institute work as well as the structure of the organisation along these five areas. These are set out in greater detail in the pages that follow.

Strategy is a statement of intent that is necessarily constrained and shaped by the internal and external environment. Although the Institute achieved many of its goals during 2008–2011, we also failed to achieve others. For example:

- ❑ We did not succeed in the establishment of the proposed New York and Brussels liaison offices, although the establishment of a liaison office in Brussels was eventually removed from our strategy. The

Institute still aims to establish a small liaison office in New York by 2014 to support the African policy community in and around the UN, but this is dependent upon additional financial support beyond that reflected in the budget for 2012–2015 contained in this document.

❑ Our human resource systems (recruitment, retention and staff development) have not kept pace with the growth of the Institute – nor are the Institute remuneration packages currently sufficiently competitive in certain offices. Some recent positive developments include the introduction of a medical scheme and, in 2012, the planned introduction of a pension scheme. The major challenge remains – how to offer long-term career security and appropriate remuneration. In addition the Institute continues to suffer from a high staff turnover at senior level that is severely debilitating on our operations.

❑ There has been insufficient diversification of ISS donors (international, business and other partners), despite strenuous efforts to broaden our support base. The global financial crisis certainly played a huge role here and our partner pool has actually shrunk, in line with that of many partner organisations. Steady progress is being made in working with some governments on various consultancies, but much remains to be done if the Institute is to move towards a sustainable funding model. This is compounded by changes in global power dynamics and the withdrawal and downscaling of traditional donor support to Africa.

❑ Focus and cross-office integration of work remained problematic. Some progress has been achieved with the establishment of the African Conflict Prevention System (now the ISS Conflict Prevention and Risk Analysis System), but during 2008–2011 the organisation worked in a less coordinated fashion than it should. Much of the focus of the strategy for 2012–2015 is on organisational renewal and change and I believe that our new five clear result areas working across offices will substantively enhance inter-office coordination.

❑ Finally, during 2011 a number of management challenges became evident. On the one hand the Institute uncovered a number of instances of fraud and corruption in its Nairobi office – pointing to deficiencies in our systems of oversight and financial management. On the other it has become evident that the Institute requires tighter performance management systems and cash-flow management that links contracts to the availability of funding.

The strategic intent of our follow-on strategy for 2012–2015 is to build and consolidate the position of the ISS as the leading ‘go-to’ applied policy research, training and technical assistance think tank on human security on Africa. We have to do so in a cost-constrained environment. In this phase the focus is therefore on improving the quality and impact of our work and not on expansion. This requires a more integrated and networked organisation than the current ISS – reflecting the impact of the globalised, networked and flat world.

We aim to achieve this by making the ISS a strategy-driven organisation where we have tight performance management systems at every level that link our strategy implementation to individual work plans. This is a huge challenge for an organisation operating across the breadth and diversity of Africa, as well as one staffed by people from more than a dozen countries and with very different views of management, quality and the role of an organisation such as the ISS – particularly as this comes at a time of unprecedented global flux and changes in traditional approaches to African development.

Organisationally the Institute had to find a balance between devolving and coordinating our substantive work across various offices while standardising and streamlining our support systems (human resources finance, knowledge management and information technology, etc.).

Preparations for the 2012–2015 strategy started in October 2010 with the appointment of a strategic team that made a huge contribution to this document. Members included:

- ❑ Mr John Muchenje; Director Management, Pretoria
- ❑ Ms Cheryl Frank; Director, Pretoria Office
- ❑ Dr Paul-Simon Handy; Director Research, Pretoria
- ❑ Mr Guy Lamb; Senior Research Fellow, Cape Town
- ❑ Mr Mehari Taddele Maru; Programme Head, Addis Ababa
- ❑ Mr Richard Perry; Knowledge Manager, Pretoria
- ❑ Mr Tsegaye Baffa; Senior Researcher, Nairobi

The team first reviewed our current strategy (2008–2011), looked at progress with the implementation of

the recommendations from previous external evaluations, undertook a strategic situational analysis and consulted with the ISS Advisory Council, the ISS Partnership Forum and Board of Trustees.

An important part of this phase was to request the ISS Partnership Forum to commission an independent evaluation of the impact of the work of the Institute. This task was coordinated by the Netherlands embassy in Pretoria through the kind assistance of Mr Wouter Jurgens. Subsequent staff consultations included a detailed stakeholder and SWOT analysis, discussions to understand the result areas that we should work in/for as well as a 'description' of the ISS in 2015 that included efforts at 'sizing' the organisation. Other activities included an online stakeholder and staff survey shared with COWI and staff, reviews of various drafts of the evaluation, etc. The COWI team finalised its report in February 2011 and presented its findings to all ISS staff during the annual staff indaba at the Pretoria Country Club later that month. This evaluation report, as well as the results of an earlier evaluation commissioned by SIDA, also done by COWI, has been extremely helpful in moving the Institute forward along a route that has now become clear; namely that of the pursuit of results and impact.

Apart from the strategic team's hard work, the strategy development process included various senior management retreats and feedback and engagement with the Trustees, the Advisory Council and the members of the ISS Partnership Forum, the last of which took place in October/November 2011. These meetings and consultations culminated in many decisions (and revisions of decisions) by management regarding structure. This was eventually a less than perfect process, but the extended implementation process had the advantage of allowing the organisation to test and amend some of its earlier thinking. Instead of being locked into a particular structure, the final structure that has been adopted and sketched out in these pages is the result of actual experience and experimentation.

I would like to express my appreciation to Ms Britta Klemmer, a consultant who worked with the institute during the last few months of 2011. This was made possible by the generous support provided by the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) GmbH through the kind offices of their regional representative, Mr Peter Conze, and his team. Most credit must, however, go to the staff of the Institute – this process was a long one and the associated implications for restructuring the organisation created a degree of understandable uncertainty. The commitment and engagement of staff across offices during the strategic planning process exemplified the qualities that have seen the Institute grow and develop over more than 20 years.

This strategic plan sets the desired future of the Institute at a time of huge global uncertainty, developments that will also impact on the future of Africa and the ISS. Eventually uncertainty and opportunity are, however, two sides to the same challenge and the Institute and its management will be measured by our response to these emerging trends.



Jakkie Cilliers  
Executive Director  
Pretoria  
25 May 2012

Note: At its meeting in August 2012, the Management Committee of the ISS decided to relocate its work on corruption and governance to Pretoria and to close the Cape Town office effective 31 December 2012. The strategy document has been amended accordingly.

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## LIST OF ACRONYMS

ACPST	African Centre for Peace and Security Training of the ISS
ACSRT/CAERT	African Centre for Study and Research on Terrorism of the African Union
AFCONE	African Commission on Nuclear Energy of the African Union
AU	African Union
ASF	African Standby Force of the African Union
BTWC	Biological and Toxin Weapons Convention
COMESA	Common Market for Eastern and Southern Africa
CPF	Community Police Forum
CSO	civil society organisations
CT	counter-terrorism
CWC	Chemical Weapons Convention
DANIDA	Danish International Development Agency
DDR	demobilisation, disarmament and reintegration
EAC	East African Community
EAPCCO	East Africa Police Chiefs Co-operation Organisation
ECCAS	Economic Community of Central African States
ECOWAS	Economic Community of West African States
EU	European Union
EXCOM	Executive Committee of the ISS
GIABA	Inter-Governmental Action Group against Money Laundering in West Africa
GIS	Geographical Information System
GPS	gender, peace and security
ICC	International Criminal Court
ICTD	International Centre for Taxation and Development
IDRC	International Development Research Centre
IGAD	Intergovernmental Authority on Development
INTERPOL	International Criminal Police Organisation
ISS	Institute for Security Studies
KRA	key result area
M&E	monitoring and evaluation
MANCO	Management Committee of the ISS
MoU	Memorandum of Understanding
NGO	non-governmental organisation
NORAD	Norwegian Agency for Development Cooperation
NPCA	NEPAD Planning and Coordinating Agency
NPT	Treaty on the Non-Proliferation of Nuclear Weapons
OAU	Organisation of African Unity
PAP	Pan-African Parliament
PSC	AU's Peace and Security Council
SADC	Southern African Development Community
SARPCCO	Southern African Regional Police Chiefs Co-operation Organisation
SIDA	Swedish International Development Cooperation Agency
SSR/G	security sector reform/governance
SWOT	strengths, weaknesses, opportunities and threats
UN	United Nations
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme

UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNODC	United Nations Office on Drugs and Crime
UNSCR	United Nations Security Council Resolution
UNU	United Nations University
WAPCCO	West African Police Chiefs Co-operation Organisation



## CHAPTER 1

# THE PURPOSE OF OUR WORK

Africa is today characterised by cautious optimism and genuine opportunity. African governments are gradually recognising an urgent need to promote and deepen democratic governance while respecting adherence to human rights. Events in the Middle East and North Africa demonstrated the aspirations of a rapidly growing, youthful and increasingly urbanised population demanding a new society and ethical leadership. Broader-based access to information, such as through new social media, provides impetus for the growth of a human rights culture and democracy that has been static for the past 15 years.

While wars and violent conflicts used to be the most prominent manifestations of African insecurity, bad governance, lack of respect for human rights and limited institutionalisation of the rule of law often lie at the heart of these problems. Poor governance in one country spills across state boundaries to another country next door, the most prominent recent example being in the Horn of Africa, with instability spreading from Somalia. On average, annual growth is reduced by 0.4 per cent if a neighbouring country is fragile. In extreme cases, insecurity and instability constitute a single, complex and interrelated phenomenon intrinsically bound to the lack of state capacity and the absence of democratic norms and sustainable development. Preventing conflict is clearly preferable, but garnering the political will and resources to invest in conflict prevention is actually much more difficult than responding to violence once it erupts, since these issues – the nature of governance and of the state – cut to the heart of the African developmental challenge.

What is more, the majority of analyses on insecurity and instability in Africa are produced outside the continent, do not take local conditions into sufficient account and are not in line with the 2005 Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action with its focus on ownership and alignment of assistance to stakeholder needs. Yet the number of independent, non-partisan research institutes on the continent is the lowest in the world, with only the Middle East having fewer think tanks than Africa. The result is that Africans are consistently subjected to prescriptive analyses without the opportunity to nuance and inform specific issues and debates that affect

the continent that are informed by the actual capacity constraints of both governments and civil society.

Much has been written about insecurity in Africa, including by the Institute for Security Studies (ISS). Our analysis presents five key challenges – all in need of urgent attention.

### 1.1 Lack of democratic governance and transparency, and high levels of corruption

The practice of democracy anywhere in the world assumes sustained levels of accountability, the rule of law, transparency and respect for human rights as core governance principles. The development experience on the continent of Africa, however, poses particular challenges as the exercise of economic, political and administrative authority to manage a country's affairs at all levels is under constant threat. Good governance only becomes possible when the mechanisms, processes and institutions through which citizens, civil society and other groups articulate their concerns, exercise their legal rights, meet their obligations and mediate their differences are framed in the public interest. This cannot be achieved in the absence of a representative form of government secured through free and fair elections, effective and efficient use of a country's natural resources for the benefit of all, and the delivery of public services.

The demand for good governance is accentuated by the rapidly increasing international demand for Africa's natural resources and the obligation to ensure that resources are shared in a just and sustainable way. Critical governance challenges remain and relate to corruption in all sectors of society, greater citizen participation, the effective implementation of international commitments (including those relating to climate change), and improved levels of transparency in the public and private sector. Governance challenges also have a regional dimension already identified by the AU, which will need support to establish its much-needed governance architecture.

Against this background it is incumbent to ask questions about Africa's long-term future. At a time of shifts in global power and with globalisation impacting on the capacity of African countries to conduct their affairs, interdependence and complexity are enhanced. Such trends will challenge traditional development patterns and need to be tested against such variables as Africa's huge growing and dynamic population, increased trade and reductions in aid, the impact of climate change, and changes in patterns of peace and stability. Ultimately the impact of the ISS' work must derive from the successful implementation of laws and other governance mechanisms, sustainable democratic practices evidenced in national institutions and countries, on-going political pursuit of anti-corruption efforts and the mainstreaming of human rights across the region.

### **1.2 Need for effective conflict prevention mechanisms, early warning and risk analysis**

Although ownership of peace processes on the African continent has improved steadily in recent years, poor policy responses as well as a lack of engagement and input from non-state actors hamper further progress. With substantial assistance from the international community in structures such as the African Standby Force, Africa's ability to manage and respond to conflict and other security threats has improved substantially, but not its ability to translate early warning of impending instability into timely action. Monitoring and reporting on such matters is, however, only part of the solution. Policy input based on sound empirical research and credible analysis at national, regional and international organisational levels is also required.

Currently, discussions on African security are largely based on state and national security considerations. The extent to which decisions are informed by sustainable human security considerations is almost entirely dependent on civil society groupings, think tanks and non-state actors. Early warning systems do not yet translate into preventive action to the extent needed. Credible independent reports on events and recommendations regarding African crises are generally produced by think tanks located in Europe and North America, often culminating in prescriptive analysis of 'what Africa and the international community must

do'. Recommendations that take into consideration the limited capacity of weak states and that are rooted within the context of regional dynamics are usually not available. The limited engagement by civil society organisations with key institutions such as the African Union's Peace and Security Council (PSC) and lack of capacity of conflict prevention mechanisms at regional level are contributing factors.

Since structural conflict prevention is ultimately about democracy, human rights and good governance, state-based systems such as that of the African Union and regional organisations have a limited ability and willingness to engage on matters that impact upon traditional norms of state sovereignty. More so, structural conflict prevention should move beyond a narrow focus on state response to potential threats to stability and embrace the creation of suitable conditions for much-needed foreign direct investments in Africa, Africa's own green revolution and the development of an African manufacturing base.

### **1.3 Weak capacity for conflict management and peace building**

Since the end of the Cold War there have been 28 sub-Saharan African states in conflict. By 2005, the number of conflicts had dropped to 14 – the majority of these being of a low intensity – and the scale of low-intensity conflicts appears to have remained consistent. In 2011, North Africa erupted in civil unrest and, in Libya, in armed resistance. These predominantly intra-state conflicts have, according to SIPRI, been caused by social, political and economic governance challenges and 'increasing institutional inefficiency, uncertainty and weakness' (SIPRI Yearbook, 2011).

Peace and security institutions at national level that are expected to manage and transform conflicts are weak, partisan and in some cases may have contributed to the conflicts. African continental and regional security institutions also lack capacity and expertise to effectively manage and resolve conflicts. The lack of sufficient and qualified staff poses a new challenge to mission leaders (20 per cent of mission staff re civilians, but the UN has a 40 per cent vacancy in this area – in AU missions it might be higher). The varied quality of forces places a further burden on mission leadership and management, which in turn has a detrimental

effect on mission success. Although the causes of conflict are national, the effects are often regional and about 90 000 peacekeepers are currently involved in fourteen peacekeeping operations in Africa, ranging from observer missions, as in Western Sahara, to enforcement missions, as in Somalia. Many challenges remain in mobilisation, development and the maintenance of suitable capacities to address the constantly changing complexities within these missions.

Conflict settlement, conflict management and conflict transformation require addressing the sources of conflict and identifying, creating and changing the mechanisms, institutions, instruments and capacity needed to effect lasting peace. Technical support should focus on the most critical areas, where conflicts have often led to consequential humanitarian emergencies, an escalation in sexual and gender-based violence, and state destruction, collapse or failure, resulting in declining social cohesion and a deterioration of formal and informal mechanisms for resolving incompatible goals in African societies. It must also address the involvement of state/non-state actors, including pirates and mercenaries, as they relate to armed conflicts, and the conduct and means of war.

### **1.4 Need for a coordinated response to transnational threats and international crime**

The security landscape in Africa has become more complex with the growing propagation of non-state transnational threats, including terrorism and criminal activities such as trafficking in people, arms, drugs and natural resources; piracy; smuggling of material related to weapons of mass destruction; money laundering; cybercrime; and oil bunkering. The threats tend to emanate from militias, armed gangs and organised criminal groups whose activities often span multiple countries and tend to expand offshore. Despite their diverging strategic objectives, transnational criminals, terrorists and insurgents are collaborating at an accelerating rate. These threats can create a vicious and supportive cycle that sustains parallel commodity markets, precipitates and sustains violent conflicts, fuels corruption within and outside states, and drives state collapse.

In addition, democracy and the rule of law in Africa are

also threatened by perpetrators' continued impunity for the most serious crimes of international concern: genocide, war crimes and crimes against humanity. Although this challenge is widely acknowledged, several factors limit the extent to which states and regional organisations can respond. In most cases, competing national priorities leave little room for international justice issues on the agendas of African governments. Resource and skills shortages are a key factor, along with the challenge of establishing criminal justice processes in countries with little tradition of the rule of law. Of growing importance, however, are the political constraints inherent in prosecuting high-profile leaders, particularly when such prosecutions coincide with political negotiations or formalised peace processes.

### **1.5 High levels of crime and violence**

Crime and violence drive insecurity in many African countries and cities. Indeed, as various African countries start to stabilise and experience sustained economic growth following periods of protracted intra-group conflict, challenges relating to interpersonal and property-related crime have started to become more pronounced. The World Bank Development Report for 2011 states that: 'Globally, violence outside of conflict settings is estimated to cost between \$95–163 billion a year.' However, the extent to which crime and violence occur within most African states is generally unknown due to the absence of reliable information. The same applies to the nature of the crime and violence encountered.

This lack of reliable information results in a situation through most of Africa whereby emerging crime and violence threats remain undetected or are inadequately understood. This hinders appropriate responses by the state criminal justice or security agencies and non-state actors. In many instances, state and non-state responses to perceived local crime and violence threats result in further insecurity and an inefficient use of limited resources. Part of the challenge has to do with weak state capacity in regard to criminal justice systems that can uphold the rule of law and promote citizen safety. Very few African countries have clear strategies and policies guiding their responses to domestic crime and violence challenges.

Often state agencies responsible for crime control are not subject to scrutiny and oversight, and may oper-

ate outside the bounds of human rights standards and national legislation. Consequently the measures taken by the formal state security agencies may exacerbate existing challenges or may become the source of insecurity themselves. Moreover, measures to reduce the risk factors that contribute to systemic challenges of crime and violence (social crime prevention) are not documented, understood and shared.

The work of the ISS in responding to these challenges will build on more than 20 years of experience in building knowledge of and human rights-based responses to crime and justice in South Africa, to contribute towards enhancing citizen safety throughout Africa.

## **1.6 Structure of our strategy**

The subsequent chapters set out the contribution of the ISS in responding to these five substantive challenges.

Chapter 2 introduces the Institute, its planning approach and the limits and constraints of its strategic plan.

Chapter 3 presents the vision, mission and consolidated work of the ISS in five key result areas (KRAs), its strategy framework and cross-cutting issues and initiatives.

Chapter 4 sets out the governance, structure and management across the ISS offices in Ethiopia, Kenya, Senegal and South Africa geared towards the achievement of our goals.

Chapter 5 sets out the communication strategy of the ISS.

Chapter 6 sets out our fundraising strategy.

Chapter 7 concludes.

## CHAPTER 2

# THE INSTITUTE FOR SECURITY STUDIES

This chapter introduces the Institute for Security Studies, its planning approach and the limits and constraints of its strategic plan.

### 2.1 The Institute for Security Studies

The Institute for Security Studies (ISS) is an established think tank, a teaching and training institution and an implementation partner with regional offices in South Africa, Ethiopia, Kenya and Senegal. Each office is registered as a subsidiary of the Institute in their respective countries, both legally and in terms of the domestic legislation for non-governmental organisations.

The work of the ISS contributes towards the overall goal of enhancing human security in Africa through five key result areas (KRA), each structured, as from 2012, as an inter-office division.

Each division will, in turn, consist of a number of programmes and projects, but not all divisions will have projects in all offices.

The Institute is registered as a non-profit trust in South Africa and answers to a Board of Trustees. The International Advisory Council enhances the ISS' accountability and transparency, as does the ISS Partnership Forum. The Council meets annually and the location of meetings rotates among offices. Core and large project donors to the Institute meet biannually in Pretoria as part of the ISS Partnership Forum and receive regular updates and reports on Institute activities.

Strategic management and policy is vested in a Management Committee (MANCO) that meets quarterly, rotating every second meeting among the various offices of the ISS. A sub-committee of MANCO, the Executive Committee (EXCOM), is responsible for the day-to-day operational management of the ISS. Division heads meet monthly in Pretoria.

### 2.2 Planning approach and process

The planning approach adopted by the ISS to translate the strategic focus into a measurable planning hierarchy follows the thinking on impact chains as depicted

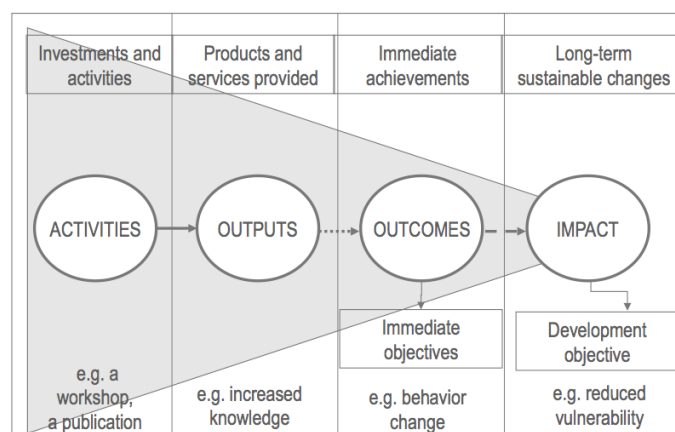
below. In this logic, strategic planning begins at the **impact** level where the desired long-term changes are formulated for the organisation. Impact cannot be attributed exclusively to the work of the ISS, and several other factors influence whether or not these changes take place. The ISS recognises this attribution gap but makes a concerted effort to measure impact to the extent possible.

In a next step, **outcomes** are defined that relate to specific achievements and form the major building blocks to move towards the desired impact. In some cases, it is useful to formulate intermediate and immediate outcomes to bridge a planning period of several years. Outcomes are the actual changes in the environment, in an institution or in a group of stakeholders that the ISS plans to achieve. They are measurable but not entirely within the control of the organisation.

The outputs are the products and services provided to move towards the outcomes. Outputs are measurable and within the control of ISS staff. They relate to, for example, increased knowledge, improved capacity or heightened awareness among stakeholders as a result of activities undertaken by the ISS. Finally, the activities are listed that are required to deliver the outputs. Examples of activities are training courses, workshops or publications.

By following this approach, the ISS demonstrates the importance it attaches to impact orientation.

**Figure 1**





## 2.3 Limits and constraints of the strategic plan

With this plan the ISS demonstrates that it is well underway to becoming a truly strategy-driven organisation. The efforts undertaken to formulate this document in a bottom-up approach speak for themselves. Nevertheless, the Institute recognises that it is a

work in progress and that this plan will be refined and further developed over the coming years. The Monitoring and Evaluation system will be adjusted to become a performance measurement partner for all divisions and cross-cutting initiatives, with associated standard reporting templates and formats. The formal review and reporting mechanism that foresees quarterly internal reports and semi-annual reports to partners will be used to operationalise the strategy.

## CHAPTER 3 FIVE KEY RESULT AREAS

For the period 2012–15, the ISS plans to build and consolidate its position as the leading ‘go-to’ applied policy research, training and technical assistance organisation on human security in Africa. In this phase the focus is on improving the **quality** and **impact** of the Institute’s work through improved internal efficiencies while focussing its outputs on achieving real and measurable results. This requires a much more integrated and networked organisation than the current ISS – reflecting the impact of the globalised, networked and flat world.

Following a period of rapid growth in recent years and in response to the need for a more streamlined technical approach, the ISS has consolidated the work previously done in various programmes into five key result areas (KRAs). The KRAs and their respective strategic outcomes form the core of the ISS strategy. This chapter sets out the **vision and overall goal of the ISS, its strategy framework and cross-cutting issues and initiatives**:

❑ KRA 1: Advancing Democratic Governance and Reducing Corruption: Enhanced levels of accountability, transparency and respect for human rights in African democracies

❑ KRA 2: Conflict Prevention and Improved Risk Analysis: Significant contribution to conflict prevention and conflict reduction in Africa

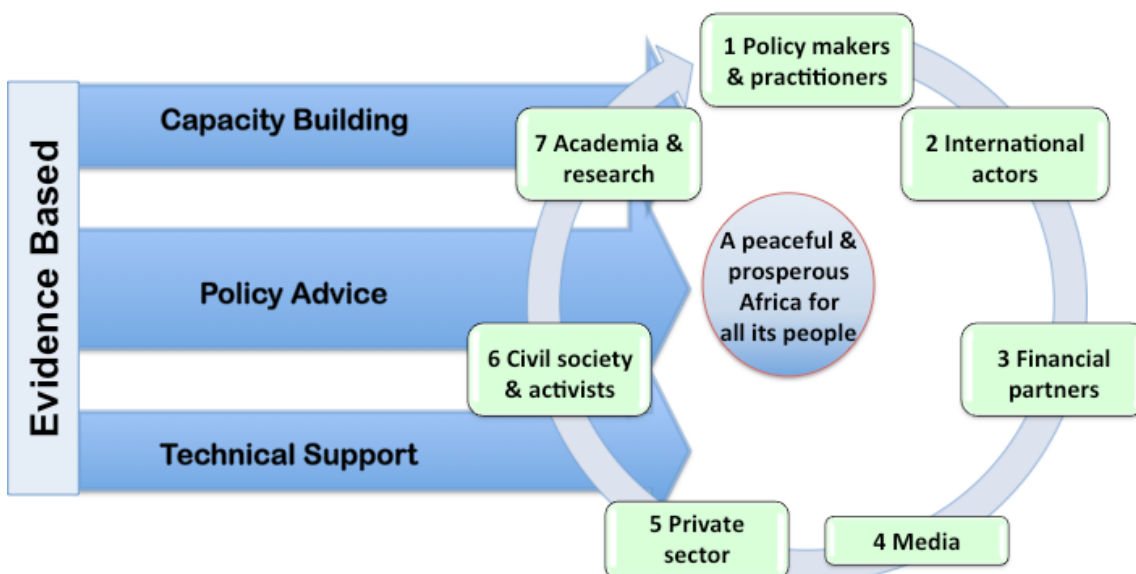
❑ KRA 3: Effective Conflict Management and Peace Building: Stakeholders contribute to sustainable peace through improved management of conflicts and provision of security

❑ KRA 4: Combating Transnational Threats and International Crimes: Enhanced proficiency of African inter-governmental organisations, governments and civil society to respond more effectively and appropriately to transnational threats and international crimes

❑ KRA 5: Reduction of Crime and Improved Justice: African governments develop evidence-based policies, legislation and strategies to reduce crime and violence and improve the performance of their criminal justice systems in line with international good practice and human rights values

Evident in chapter 3, the five KRAs inform the subsequent structure of the Institute into divisions, programmes and projects as well as the management of the organisation. The terms ‘divisions’ and ‘KRAs’ are subsequently used interchangeably in the remainder of this document.

Figure 2





### 3.1 Vision and mission

As a leading Pan-African policy research and training organisation, the ISS is guided by the broad concept of human security and works towards the vision of ‘a peaceful and prosperous Africa for all its people’.

The mission and overall goal of the ISS is ‘to advance human security in Africa through evidence-based policy advice, technical support and capacity building’.

### 3.2 Strategy framework

The ISS offers a mix of policy advice, specialised technical assistance and capacity building to seven stakeholder groups reflected in the figure below and numbered in order of priority. It adds critical balance and objectivity by providing timely, empirical research findings and contextual analysis of relevant human security issues to policy makers, area specialists, advocacy groups, and the media. The Institute builds partnerships with relevant government agencies so that they are more informed and more capable to respond effectively to human security concerns; works with intergovernmental organisations to devise frameworks and coordinated responses; and provides accurate research findings and analysis to allow governments and civil society to make informed decisions and advocate for change.

The planning approach described above has been implemented in each key result area and led to the development of five KRA-specific strategic plans, which are presented below. In line with the approach, each KRA has considered its desired impact or strategic outcome first, and these collectively propel the ISS closer to fulfilling its mission.

A summary view is that the work of the Institute to understand instability and insecurity in Africa (done within Division 2) should inform and drive the capacity building and technical support work in other divisions. Although each division within the Institute necessarily undertakes its own research and analysis on the situation that pertains to its specific area of expertise, ISS work on conflict prevention and risk analysis is not only done for external stakeholders, but also serves the internal requirements of the Institute itself. This relationship can best be described dynamically as the shaft (KRA 2 on conflict prevention and risk analysis) that

Figure 3



drives the four blades (four other KRAs) of Institute work, reflected in the accompanying two-dimensional diagram. Practical evidence of this relationship is the strong focus on analysis and research within Division 2, whereas other divisions have a much greater emphasis on capacity building, teaching and training.

In recent years the Institute has embarked upon longer-term scenario work, encapsulated in the African Futures Projects.<sup>1</sup> Looking long term (say over 20 years) is necessarily informed by our short-term understanding and analysis – but it is also somehow separate. For example, the short-term (negative) impact of the Arab Spring on the economies of North Africa will do little to alter the longer-term trajectory towards the achievement of the Millennium Development Goals (MDGs) and continued higher standards of living for the citizens of this region with its smaller youth bulge, bountiful energy supplies and proximity to the huge markets of Europe. In this sense the work on African futures influences the direction of the ISS, much like the rudder of a ship determines the course of the vessel.

The ISS has also taken the view that the governance, management and administration of the Institute, which are critical support functions in driving forward this Strategic Plan, should equally be presented and evaluated in much the same way as its substantive programme work. Therefore, as each of the ISS’ five new

<sup>1</sup> Done in partnership with the Pardee Center for International Futures, University of Denver, Colorado, US.

KRAs are presented together with outcomes, activities and measurement indicators for these, so too are its key support functions. This Strategic Plan seeks to ensure that each staff member will eventually be able to link his/her job functions directly to the strategy, and therefore understand his/her specific and unique contribution to the achievement of ISS goals. This will be achieved via individual work plans that are linked to the outcomes and outputs stated in this strategy, and a performance management system that monitors and supports staff members towards the achievement of these goals.

### 3.3 KRA 1: Governance and Corruption

For the ISS, the nature of the work in KRA 1 requires collaboration with various levels of government and a wide range of non-state actors such as political parties, civil society organisations (CSOs), national and international non-governmental organisations (NGOs) and the media. The main means of action are applied qualitative and quantitative research and analysis, advisory services on policies and legislation; technical support for policy implementation; and training/forecasting that is partly software-supported.

See the annexure for the goal hierarchy and indicators tree.

KRA 1 will eventually work across all five ISS offices with significant linkages to other KRAs and to cross-cutting initiatives, including the African Centre for Peace and Security Training (ACPST), where it will work on the presentation of a first series of human rights training courses in 2012. The KRA will work in four thematic areas:

- ❑ Area 1: Democracy in action
- ❑ Area 2: Building transparent and accountable institutions
- ❑ Area 3: Natural resource and climate change governance
- ❑ Area 4: Long-term governance planning

In 2012 the priorities for KRA 1, across all offices, will be:

- ❑ Settle into the new division with the relocation

of the division from Cape Town to Pretoria at the end of 2012

- ❑ Deepen work on corruption in South Africa and in support of AU and UN conventions in Africa from Addis Ababa
- ❑ Expand work on the governance of climate financing
- ❑ Establishment of a project in Addis Ababa to work on the African Governance Platform and shared values, also to support work on voting and elections
- ❑ Develop the African Futures project and build a project on the governance and future of selected African cities

For the period 2013–2015 the division will undertake the following from the **Addis Ababa** office of the ISS:

- ❑ Projects in support of the implementation of the African governance architecture and shared values
- ❑ Monitoring the implementation of the AU Convention on Preventing and Combating Corruption
- ❑ Support for entry into force and subsequent implementation of the African Charter on Democracy, Elections and Governance

For the period 2013–2015 the division will undertake the following from the **Nairobi** office of the ISS:

- ❑ Support to the democratisation process in Kenya according to the new constitution
- ❑ Work in support of civil society in Kenya on oversight mechanisms on combating corruption
- ❑ Dissemination of outputs on governance & corruption done from other offices

For the period 2013–2015 the division will undertake the following from the **Dakar** office of the ISS:

- ❑ Research in Francophone West Africa & dissemination of outputs done from other offices
- ❑ Small project established in 2013 to look at the governance gap in French speaking Africa, as well as:
  - Work in support of the Commission for Human & Peoples' Rights in Banjul
  - Work in support of civil society in Dakar on oversight mechanisms on combating corruption

### 3.4 KRA 2: Conflict Prevention and Risk Analysis

Through its system of integrated regional hubs in Addis Ababa, Dakar, Nairobi and Pretoria, Division 2 works with government partners at national and regional levels, with the African and international diplomatic community, CSO partners, and, over the coming years, increasingly with the private sector. Main means of engagement are empirical research and contextual analysis, policy advice as well as training. Furthermore, collaboration with the media plays a large role in this division.

See the annexure for the goal hierarchy and indicators tree.

The Conflict Prevention and Risk Analysis System of the ISS operates in an integrated fashion across four of the ISS offices, each with a specific regional and stakeholder focus. Hence from Addis Ababa the Institute focuses on complementing the African Union's Peace and Security Council Report and much of the work of the Division feeds into this purpose, among others through the production of the monthly PSC Report done from that office.

The geographical areas of focus are set out schematically in Figure 4.

KRA 2 implements projects that relate to regional clusters and the Peace and Security Council Report with significant linkages to other divisions and cross-cutting initiatives, in particular to the ACPST. Coordinated from Pretoria, the division will work in the following areas:

- ❑ **Area 1:** Risk analysis (targeted at the private sector)
- ❑ **Area 2:** Early warning & conflict analysis
- ❑ **Area 3:** Technical assistance to national and regional policymakers on conflict prevention
- ❑ **Area 4:** Foreign policy analysis in selected African countries as related to conflict and risk analysis

Key stakeholders for this division are set out diagrammatically in Figure 5.

Figure 4

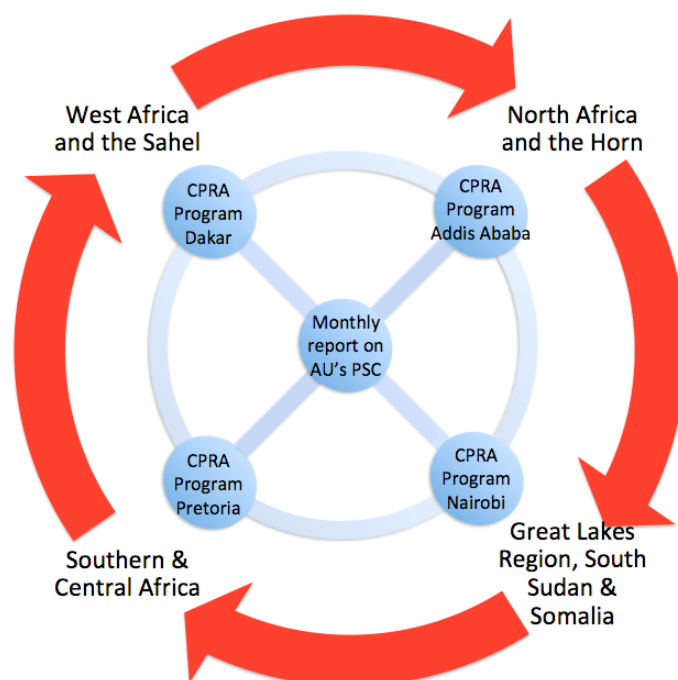
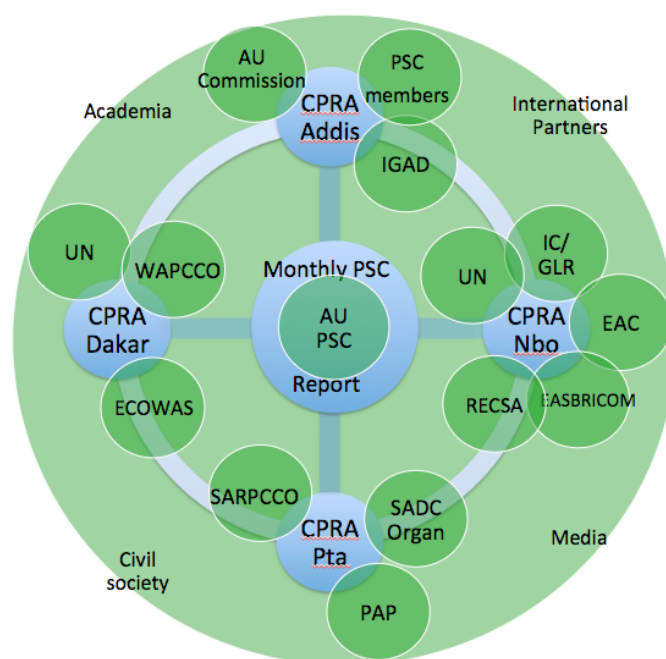


Figure 5



**Priorities for 2012** are as follows:

- ❑ Settling into the new division structure with a head in Pretoria and programmes/projects in Addis

Ababa and Nairobi

- ❑ Further development of the system's Nairobi hub
- ❑ Establishment of the hub in Dakar in 2012 and annual security assessment for ECOWAS as from 2012
- ❑ Developing a French version of the monthly report on AU's Peace & Security Council (from Addis Ababa)

For the period 2013–2015 this division will undertake the following from the **Addis Ababa** office of the ISS:

- ❑ Horn of Africa hub of the ISS Conflict Prevention and Risk Analysis System (other hubs in Pretoria, Nairobi & Dakar)
- ❑ Complement the state-based early warning work of AU with a focus on human security; hold PSC to account and popularise its workings
- ❑ On-going, field-based policy analysis
- ❑ Platform for debate and understanding
- ❑ An expanded PSC monthly report in English and French, including rolling updates
- ❑ Special focus on tracking developments in North Africa
- ❑ Special focus on the relationship between climate change, peace & security

For the period 2013–2015 this division will undertake the following from the **Nairobi** office of the ISS:

- ❑ Hub of the ISS Conflict Prevention and Risk Analysis System (other hubs in Pretoria, Addis Ababa and Dakar) – focus on Great Lakes, South Sudan and Somalia
- ❑ Complement the state-based early warning work of AU, RECs and the government of Kenya with a focus on human security
- ❑ Establish a regular platform for debate and understanding
- ❑ Contribute to an expanded PSC monthly report in English and French, including rolling updates

For the period 2013–2015 this division will undertake the following from the **Dakar** office of the ISS:

- ❑ West Africa hub of the ISS Conflict Prevention and Risk Analysis System (other hubs in Pretoria, Addis Ababa and Nairobi)
- ❑ Complement the state-based early warning work of AU, RECs and government, with a focus on human security

- ❑ Act as a platform for debate and understanding
- ❑ Contribute to an expanded monthly report of the PSC in English and French, including rolling updates
- ❑ Develop an annual West African security assessment for ECOWAS

For the period 2013–2015 this division will undertake the following from the **Pretoria** office of the ISS:

- ❑ Southern Africa hub of the ISS Conflict Prevention and Risk Analysis System (other hubs in Dakar, Addis Ababa and Nairobi)
- ❑ Complement the state-based early warning work of AU, RECs and government, with a focus on human security
- ❑ Act as a platform for debate and understanding
- ❑ Contribute to an expanded monthly report of the PSC in English and French, including rolling updates
- ❑ Develop an annual Southern African security assessment of SADC
- ❑ Track and analyse SA foreign policy

### 3.5 KRA 3: Conflict Management and Peace Building

Division 3 contributes to sustainable peace through the improved management of conflicts and provision of security by stakeholders. It supports policy development and implementation (including gender), capacity building and research, and analysis in the area of conflict management and peace building.

The division has a large capacity building component that conducts, for example, pre-deployment peace-keeping training; training on how to cope with humanitarian emergencies; gender-specific training; and capacity building to strengthen CSO and parliamentarians' participation in, and oversight of, the security sector. The division increases awareness among stakeholders through relevant and timely research, analysis, and policy dialogues on topical issues related to peace-keeping and peace building, maritime security, security sector reform and gender, peace and security.

Coordinated from Pretoria, the division will work in the following thematic areas:



- ❑ **Area 1:** Conflict management and peace building
- ❑ **Area 2:** Training for Peace
- ❑ **Area 3:** Security sector reform and governance
- ❑ **Area 4:** Gender, peace and security
- ❑ **Area 5:** Maritime security

Division 3 will implement projects from the offices in Pretoria and Nairobi with linkages in particular to Division 1 on the African Governance Architecture, Division 2 on the analysis of sources of conflict, Division 4 on the development of a maritime strategy for ECOWAS and to cross-cutting initiatives, including the ACPST for the implementation of training initiatives that can most economically be done centrally rather than in-country (the latter is the case with most Training for Peace activities).

See the annexure for the goal hierarchy and indicators tree.

#### Priorities for 2012 are as follows:

Settling into new division with head in Pretoria and staff in Pretoria and Nairobi in order to:

- ❑ Improve delivery on training police for peace-keeping (Training for Peace) from Pretoria and Nairobi
- ❑ Re-establish capacity on security sector reform and governance in Pretoria, including demobilisation, disarmament and reintegration and defence analysis.
- ❑ Develop current work on gender, peace and security from Pretoria
- ❑ Develop a maritime strategy for ECOWAS and commence with the establishment of a maritime information centre with focus on the Gulf of Guinea and the Horn (with Division 4)
- ❑ Optimise African Conference of Commandants (ACoC) secretariat activities for capacity building

For the period 2013–2015 the division will be based in Pretoria and undertake projects in the **Addis Ababa** and **Dakar** offices of the ISS that deal with its five core areas of work:

- ❑ Conflict management and peace building
- ❑ Training for Peace
- ❑ Security sector reform and governance
- ❑ Gender, peace and security
- ❑ Maritime security

For the period 2013–2015 this division will undertake the following from the **Nairobi** office of the ISS:

- ❑ Provide in-country, pre-deployment peacekeeping training for police
- ❑ ASF doctrine development, lessons learnt & policy analysis
- ❑ Events and dissemination of work on the five core areas of the division

For the period 2013–2015 this division will undertake the following from the **Pretoria** office of the ISS:

- ❑ Provide technical support and advocacy for the development and implementation of frameworks and policies on conflict management and peace building
- ❑ Conduct assessments and identify lessons learnt in the areas of conflict management and peace building, gender peace and security, SSR/SSG and maritime security.
- ❑ Deliver training, education, technical assistance and develop required manuals and guides
- ❑ Identify and research knowledge and policy gaps
- ❑ Host the secretariat of the African Conference of Commandants (ACoC) as a tool to influence the professionalisation of African militaries
- ❑ Host *Observatoire de l'Afrique*
- ❑ Lead the Gender Peace and Security Cluster of the SADC Gender Protocol Alliance
- ❑ Continue to participate in the Training for Peace programme

### 3.6 KRA 4: Transnational Threats and International Crimes

The main means of action in Division 4 are research and analysis, technical assistance, networking, relationship building and advocacy, as well as capacity-building and training support. Building on established relationships and partnerships, the division will work closely with intergovernmental organisations and key national actors to support the development of threat reduction frameworks, policy guidelines, technical handbooks and training curricula. Capacity building and technical assistance will also be provided to national governments. The division cooperates with professional and civil society networks and organisations to advocate

positions and recommendations with regards to the reduction of transnational threats and international crimes (TTIC) in Africa. Activities in the following thematic areas are foreseen:

- ❑ **Area 1:** International criminal justice and counter-terrorism
- ❑ **Area 2:** Arms control, disarmament, non-proliferation and armed violence reduction
- ❑ **Area 3:** Emerging transnational threats and crimes in Africa

See the annexure for the goal hierarchy and indicators tree.

The division will work throughout the continent and in particular in Southern, Eastern and West Africa and in countries facing the greatest challenges in understanding and responding to transnational threats and international crimes. Moreover, geographic focus areas will be determined on the basis of need in terms of specific transnational threat and crime problems, as well as the partnerships that are formed with regional and sub-regional organisations and national governments, and which result in invitations for assistance with capacity building and technical assistance.

Apart from the technical work, Division 4 will continuously improve the quality of its publications and training products through staff training and trainer development based on international best practice.

#### **Priorities for 2012 are as follows:**

- ❑ Settle into new division with staff in Pretoria, Nairobi and possibly Dakar
- ❑ Support the implementation of the ECOWAS counter-terrorism strategy
- ❑ Provide broad-based counter-terrorism training at national and regional levels on international justice in East, West and Southern Africa
- ❑ Host high-level symposium on the new ICC Prosecutor and implications for Africa (building on 2010 ICC Africa Wants Project)
- ❑ Coordinate the development of a maritime strategy for ECOWAS
- ❑ Work on combating small arms proliferation in Southern Africa
- ❑ Conduct policy work in preparation for the 2015 NPT review conference and Arms Trade Treaty negotiations, the establishment of the African Com-

mission on Nuclear Energy (AFCONE), annual meetings of States Parties to the CWC and the BTWC and Arms Trade Treaty negotiations

- ❑ Support state institutions in Southern and West Africa to track cross-border tax evasion facilitated by commodity trade
- ❑ Conduct research on, and provide assistance with, the implementation of UN Security Council resolutions such as UNSCR 1540 and 1373 in Africa
- ❑ Development and UN launch of an ISS Paper on 'Reconceptualising Organised Crime in Africa'
- ❑ Collect, analyse and disseminate information on emerging trans-national economic and maritime crimes in East, West and Southern Africa
- ❑ Develop methods of tracking trade-related illicit financial flows from Africa

For the period 2012–2015 this division will not locate projects in the Addis Ababa office of the ISS, but undertake the following from other offices:

- ❑ Broad-based training on international criminal justice in region
- ❑ Support the development of an annual African threat assessment
- ❑ Support engagement with ACSRT/CAERT on counter-terrorism
- ❑ Events on arms control, disarmament and non-proliferation and armed violence prevention and reduction, drugs, cybercrime, etc.

For the period 2012–2015 this Division will undertake the following from the **Nairobi** office of the ISS:

- ❑ Broad-based training on international criminal justice and counter-terrorism at national and regional levels (with key regional partners)
- ❑ Significant training and technical support to the governments of Kenya and Uganda (pursuant to written agreements)
- ❑ Mapping of illicit financial flows within and from East African countries
- ❑ Support the development of an annual African transnational threat and crime assessment
- ❑ Events and training on arms control, disarmament and non-proliferation, armed violence prevention and reduction, drugs, cybercrime, etc.
- ❑ Work with RECSA and EAPPCO on control of small arms and light weapons
- ❑ Work on piracy as an international crime

For the period 2012–2015 this division will undertake the following from the **Dakar** office of the ISS:

- ❑ Finalise the ECOWAS counter-terrorism strategy and subsequent implementation and training support
- ❑ Conduct broad-based training at national and regional levels on international criminal justice and counter-terrorism (with key regional partners, including APA and WAPCCO)
- ❑ Support GIABA to map illicit financial flows and money laundering within and from West Africa
- ❑ Work on piracy as an international crime
- ❑ Hold events on arms control, disarmament and non-proliferation, armed violence prevention and reduction, cybercrime, etc.

For the period 2012–2015 this division will undertake the following from the **Pretoria** office of the ISS:

- ❑ Conduct broad-based training on international criminal justice and counter-terrorism at national and regional levels (with key regional partners)
- ❑ Hold high-level symposium on the new ICC Prosecutor and implications for Africa
- ❑ Provide significant training and technical support to state institutions in South Africa, Botswana and Namibia (pursuant to written agreements)
- ❑ Support the development of an annual African transnational threat and crime assessment
- ❑ Hold events on arms control, disarmament and non-proliferation, armed violence prevention and reduction, cybercrime, etc.
- ❑ Develop phase 2 of the 'Reconceptualising Organised Crime in Africa' Project

For the period 2012–2015 this division will undertake the following (initially from the **Cape Town** office, but from 2013 from the **Pretoria** office of the ISS):

- ❑ Conduct on-going research on organised crime and money laundering in Africa, specifically the impact of organised crime on governance
- ❑ Map illicit financial flows and money laundering within and from Southern Africa
- ❑ Develop projects on illicit flows of proceeds of crime in Africa and criminal aspects of taxation and tax evasion
- ❑ Provide support to SARPPCO to implement recommendations from the 2011 research findings on organised crime in Southern Africa

### 3.7 KRA 5: Crime and Justice

The main means of action in Division 5 are to generate information and analysis on crime, presenting it by using Geographical Information Systems (GIS) and other platforms, and disseminating the findings to key stakeholders in the private and public sectors at local, provincial and national level. Furthermore, the division analyses state and non-state responses to crime, especially in terms of effectiveness and impact, and provides training and technical support to strengthen the capacity of state and non-state actors (including the private sector) to understand and respond to crime.

The division is currently operating out of the ISS office in Pretoria and covers South Africa as well as regional activities in Namibia and Mozambique. The full establishment of the division has been delayed until at least mid-2012, although it is envisaged to start activities in Kenya by 2013, and subsequently Senegal. Division 5 works directly with civil society and national authorities, and plans to cooperate with regional bodies as well over the coming years. It will work in the following thematic areas through the establishment of a crime information hub in South Africa, Kenya and Senegal, as well as undertaking regional projects:

- ❑ **Area 1:** (Violent) crime research and analysis
- ❑ **Area 2:** Functioning and performance of national criminal justice systems
- ❑ **Area 3:** Promotion of community safety

See the annexure for the goal hierarchy and indicators tree.

Priorities for 2012 are as follows:

- ❑ Recruitment and establishment of Division Head in Nairobi
- ❑ Establishment of crime information hub for Kenya including provision of support to the Government
- ❑ Further development of the South African crime information hub

For the period 2013–2015 this division will not locate any staff in the Addis Ababa office of the ISS, but focus its efforts on developing national projects in Kenya and Senegal to establish a national crime information hub in each. It will, from **Addis Ababa**:



- ❑ Disseminate outputs
- ❑ Provide training as required

For the period 2013–2015 this division will undertake the following from the **Nairobi** office of the ISS:

- ❑ Develop a national crime information hub for Kenya to track violent crime and government response to crime
- ❑ Conduct capacity building with institutions, civil society and the Kenya police to undertake crime analysis

For the period 2014–2015 this division will undertake the following from the **Dakar** office of the ISS:

- ❑ Develop a national crime information hub for Senegal to track violent crime and government response to crime
- ❑ Conduct capacity building of institutions of the Senegalese criminal justice system
- ❑ Provide regional support to crime analysis as appropriate

For the period 2013–2015 this division will undertake the following from the **Pretoria** office of the ISS:

- ❑ Further develop a national crime information hub for South Africa to track violent crime and government response to crime
- ❑ Provide regional support to crime analysis as appropriate

### 3.8 African Centre for Peace and Security Training

In 2012 the Institute launched the **African Centre for Peace and Security Training** (ACPST) in Addis Ababa as a new cross-cutting training initiative to support and strengthen all five KRAs and to support partnership training. The Centre will provide expert training at the conceptual and strategic level in African peace and security policy issues for mid-career diplomats, military officers, and civil servants from African foreign, defence and other relevant ministries, as well as from international organisations and non-governmental and civil society organisations engaged with or working on

African issues.

See the annexure for the goal hierarchy.

#### Indicator for overall ACPST strategic impact:

- ❑ A reduction in the extent to which people suffer from food insecurity, terrorism, piracy, gender inequality, wars, electoral violence, the proliferation of small arms and toxic materials, etc.

#### Indicators for outcome 1:

- ❑ Efforts by ACPST alumni aimed at reforming or encouraging the reform of existing policies, laws and implementation strategies to reflect new understandings of human security issues in ISS KRAs
- ❑ Explicit efforts by ACPST alumni aimed at incorporating or encouraging the incorporation of expert input at the initial stages of policy formulation to ensure better alignments between policies and implementation strategies, and the problems they are meant to address in ISS KRAs

#### Indicator for outcome 2:

- ❑ Efforts by ACPST alumni aimed at reforming or encouraging the reform of old laws, policies and implementation strategies or creating new ones in ISS KRAs with the explicit goals of enhanced efficacy, respect for human rights and sustainability

#### Indicators for outcome 3:

- ❑ Increasing communication among ACPST alumni practitioners with the goals of sharing knowledge and information on human security threats and skills for combatting these threats in ISS KRAs
- ❑ More efforts at undertaking concerted action and synchronising activities by ACPST alumni across nations and sectors to boost human security in ISS KRAs

#### Indicators for outcome 4:

- ❑ Rise in transitions to more innovative ways of dealing with human security issues in ISS KRAs by ACPST alumni
- ❑ More critical reflections on the limitations of orthodox approaches to human security issues in

ISS KRAs by ACPST alumni

#### The ACPST has the following plans for 2012:

- ❑ Creating structures like a curriculum advisory council that will ensure high standards and relevance in the work of the ACPST while contributing to its external credibility as a training institution with some of the highest standards on the African continent
- ❑ Recruiting staff to get the training activities of the ACPST underway
- ❑ Planning and carrying out the first courses
- ❑ Undertaking significant outreach through a launch event, a curriculum development workshop involving potential clients, the distribution of brochures and the creation of a website

#### ACPST plans for the 2013–2015 period:

- ❑ Crafting and marketing a clear and reputable identity for the ACPST
- ❑ Securing a sufficient and sustainable financial base for the Centre
- ❑ Working out the relationship of the ACPST with ISS research divisions, and ISS offices outside Addis Ababa, with the goal of ensuring that the Centre can perform its core function of building capacity across the African continent primarily through high-quality short courses in the best way possible
- ❑ Establishing a reliable list of core partners with whom the ACPST will undertake collaborative work
- ❑ Exploring eLearning and its potential for furthering the activities of the ACPST
- ❑ Expanding and improving the list of course offerings at the ACPST with the goal of carving out a niche within the training environment in Africa
- ❑ Exploring the creation of a Peace and Human Security Platform (PEHSP) to promote networking and knowledge exchange among human security practitioners in Africa
- ❑ Creating a sustainable resource base for the Centre

#### Potential activities 2013–2015

ISS offices in Addis Ababa, Nairobi and Dakar	Offer training courses on human security issues
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	Build and operate the Peace and Human Security Platform
Various places across Africa	Undertake training intensive activities

### 3.9 Cross-cutting concerns and initiatives

In addition to the five KRAs, the ISS strategy includes four cross-cutting thematic concerns:

- ❑ Climate change and its impact on human security
- ❑ Gender mainstreaming
- ❑ The Pan-African dimension and nature of the ISS
- ❑ Building young research capacity on peace and security

Climate change is a major threat to livelihood security in Africa, and the ISS is at the forefront of researching and analysing the challenges of climate change and threats to livelihoods with the objective of developing effective policy responses. This topic, along with its range of issues relating to the vulnerabilities, adaptation and mitigation of climate change and conflict management, is of a cross-cutting nature that is of relevance to all divisions, with the division engaged with democratic governance and reducing corruption additionally engaged in work on climate finance issues. The ISS also makes an own institutional contribution through measures to reduce its negative environmental impact. In addition, environmental committees have been appointed in each office and efforts to off-set carbon emissions are under development.

Gender mainstreaming is a second cross-cutting concern that is relevant for all offices and divisions. The ISS has set performance targets and developed systems for the recruitment and retention of women, particularly in the management and research sections of the organisation. Gender mainstreaming is actively promoted in the technical work undertaken by all divisions. In addition, Division 3 has a component that relates to ‘Gender, Peace and Security’, for example to enhance gender awareness among peacekeepers or to improve the representation of women at different levels of the security sector. The ISS plans to further strengthen its investment in this area over the coming years; among others this is pursued through the Institute’s African internship initiative (see below).

The Pan-African dimension of the ISS is essential to maintain and further develop the Institute's position as a leading think tank on the continent. The Institute currently employs staff from more than a dozen African countries and plans to further strengthen its diversity over the next four years. With the opening of an office in Senegal in 2010, the ISS has reached out to the French-speaking part of Africa and will continue to tailor its products and services to the needs of stakeholders in Francophone West Africa. Specific performance targets will be developed for each office and division to ensure that different backgrounds and cultures combine to enhance the quality of work and to enrich the various teams.

Being deeply committed to building young African research capacity on issues that relate to peace and security, the Institute has been running an internship programme for several years. Beyond its traditional focus on nurturing the talents of future generations, the ISS internship programme is practically evident in all larger programmes across the Institute and has a particular focus on building local, female talent in a field traditionally dominated by males. Each intern is assigned to a senior researcher within the ISS who develops the research methodology and associated work plan and oversees his/her activities. Our objective in employing interns is 'for their empowerment and knowledge transfer'. Interns also provide the Institute with short-term assistance through activities in line with the overall objectives of the ISS. The Institute offers:

- ❑ A state-of-the-art workplace with relevant infrastructure and resources
- ❑ A clear job description/work plan that outlines agreed targets and expected results (supervision, training, capacity building)
- ❑ Assurance that research outputs are available at the end of the internship
- ❑ Full involvement of the interns in relevant office activities

Generally interns are expected to do the background research for research projects and paper presentations. They also assist with organising seminars/workshops and conferences and assist on a specific research area within either the programme or the Institute. An intern is assigned a specific set of tasks for which he/she is responsible. Typically, internships are for a minimum of four months but should not exceed a period of twelve months and are employed at a post-MA (or equivalent) level with the intention of providing early work experience and building a CV.

### 3.10 Proposed liaison office in New York

During the previous strategic period the Institute undertook several fact-finding missions to New York to explore and confirm the need for a liaison office to the UN system and to the African policy community. The Institute remains committed to this need.

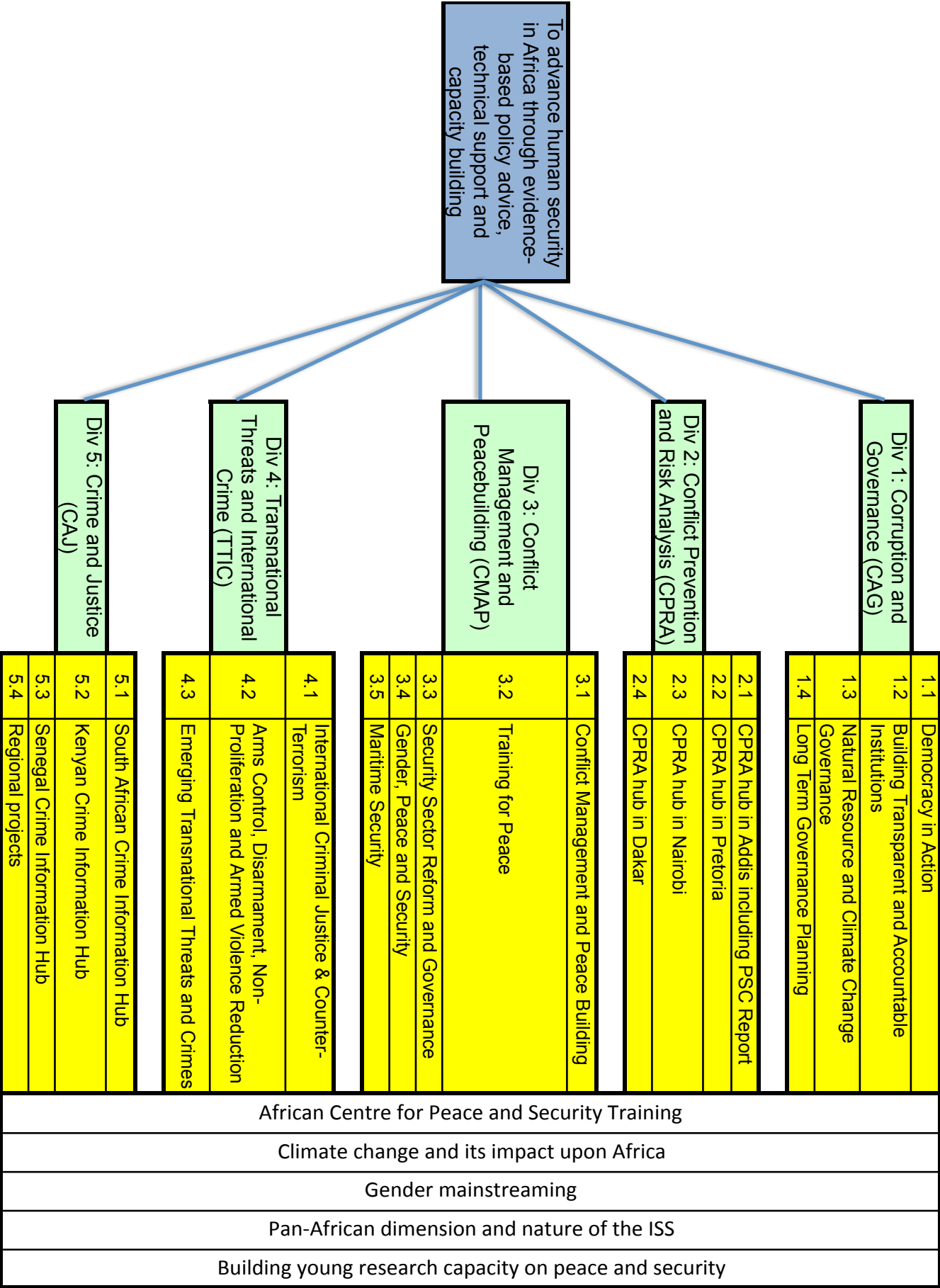
The opening of a small **liaison office in New York** is planned for 2014, provided sufficient funds are available. The purpose of the office will be to work in support of the African agenda on human security within the UN system, and to pursue the harmonisation of African and international conflict prevention and management approaches.

The costs for this office are not included in the budgets presented in this strategy.

### 3.11 Summary of KRAs and programmatic areas of work

The relationship between the ISS mission, KRAs/Divisions, programmes and cross-cutting initiatives are set out graphically on the following page.

Figure 6



## CHAPTER 4

# GOVERNANCE, STRUCTURE AND MANAGEMENT

Governance, management and administration at the ISS are central to ensuring the success of this strategy. These functions establish the framework within which our substantive work will operate. This chapter sets out the governance, structure and management of the ISS towards the achievement of our goals across the ISS offices in Ethiopia, Kenya, Senegal and South Africa.

The approach taken by the ISS is that all areas of its work, including management, should be amenable to the measurement of results. Therefore, defined outcomes, outputs and indicators for the measurement of our support functions are presented in this chapter, similar to those for the substantive work of the Institute.

### 4.1 From strategy to structure

MANCO has decided to operationalise ISS vision, mission and KRAs within a framework of divisions, programmes and projects. A DIVISION (corresponding to each of the five KRAs) is a permanent organisational unit supported by one or more programmes/projects operating under the supervision of a Division Head with a view to pursuing goals and a strategy as a key result of the ISS. A division receives a limited budget allocated from core funding and has to do fundraising for specific projects. Divisions can be structured in a combination of programmes and projects reporting directly to the Division Head.

A PROGRAMME is an area of work within a division in accordance with the ISS strategy. Programmes are approved by MANCO and are headed by a Programme Manager, who is co-responsible for fundraising with the Division Head. Programme Managers may head more than one project and more than one programme. All Programme Managers are expected to manage one or more projects. Where funding is unavailable, Division Heads may act as Programme Managers. Programme Managers are (re)appointed annually by MANCO on the recommendation of the Division Head, based on performance against divisional goals.

A PROJECT is an activity or a series of activities carried out by one person or a team under the supervision of a

Project Leader that has a definite commencement date and anticipated termination date, and is carried out in terms of a specified project goal or outcome. Projects are approved by EXCOM, which may appoint Project Leaders from researcher upwards.

Currently four out of five Division Heads will be located in Pretoria, with one in Nairobi. Monthly Division Head meetings will be occurring. MANCO may, during this strategic phase, decide to allow additional Division Heads to be located in regional offices. By 2015 the management of Division 2 will have moved to Addis Ababa.

The goals and indicators for each division corresponds with that for each KRA and are set out in Chapter 3 and the associated annexures.

The Institute will be appointing a Deputy Executive Director and a Director Operations.

Figure 7



The merger of the previously separate Head and Pretoria Offices has already been completed.

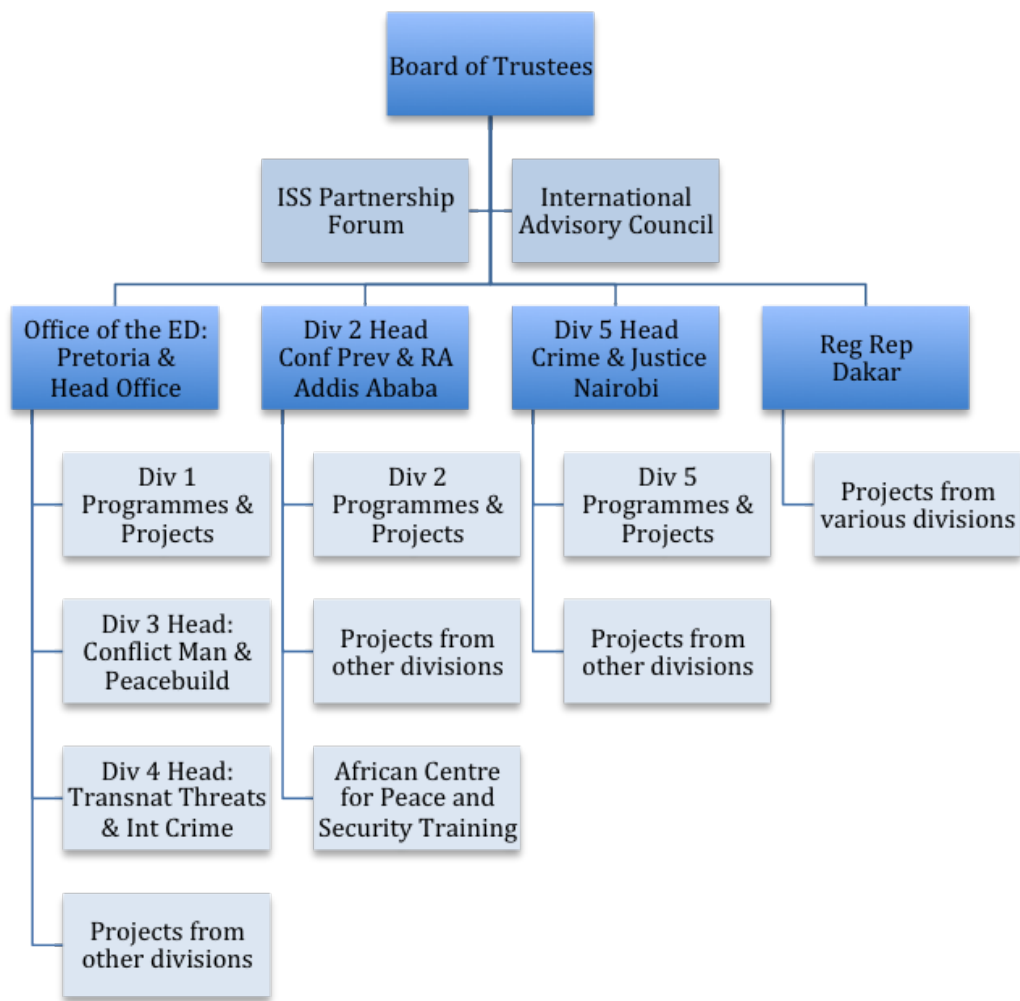
The structure of the Institute by 2015, including the location of Division Heads, is envisioned as follows:

An expanded Management Committee (MANCO) of the Institute, now including Division Heads, will set Institute policy, meeting on a quarterly basis, while the Executive Committee (EXCOM), a sub-committee of MANCO, remains responsible for day-to-day operational management.

As the effective head office of the Institute, the Preto-

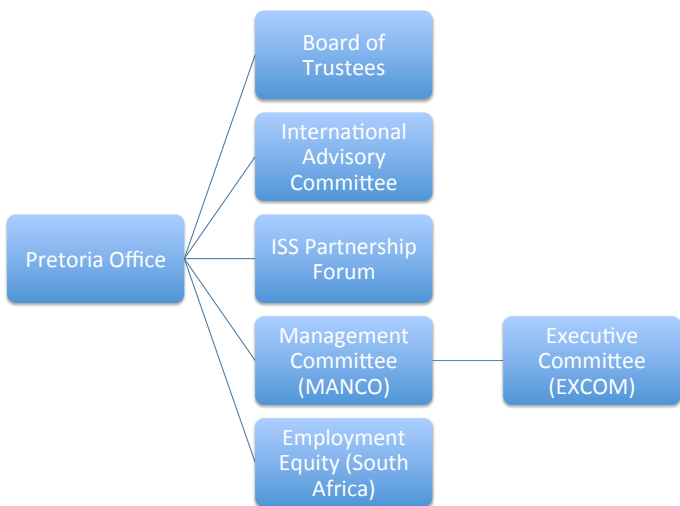


Figure 8



ria office is responsible for various corporate duties, including those relating to key internal and external structures of the Institute. These can be depicted as follows:

Figure 9

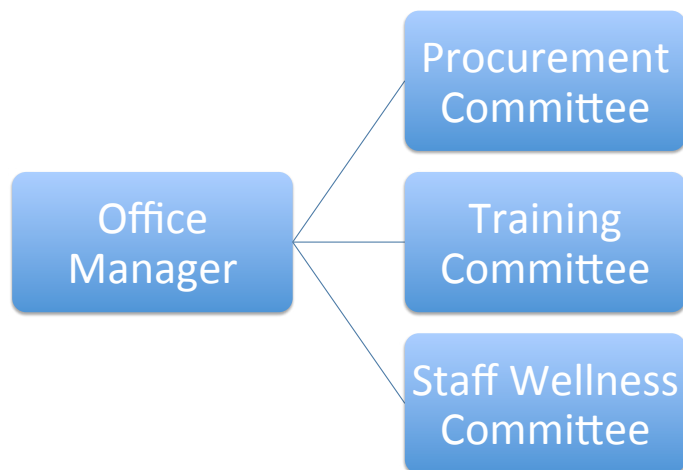


Identifying individual Council members with specific KRAs of Institute work will allow for greater engagement from the 20-person International Advisory Council of the Institute. We will also initiate the renewal of a limited number of members of the Council, with a particular eye on gender and equal representation for each of our five result areas.

The Institute remains committed to the use of the ISS Partnership Forum as an effective way to simplify and standardise reporting, monitor the impact of the work of the Institute, support and advise. For 2012–2015 the Forum will consist of core and large project donors to the ISS that provide a minimum core support of €200 000 p.a. or a minimum project support of €400 000 p.a. The Forum meets twice a year at the Pretoria office.

The ISS is continuously working towards strengthening operational management across its various offices. The Institute maintains a comprehensive system of policies, rules, systems and procedures for the manage-

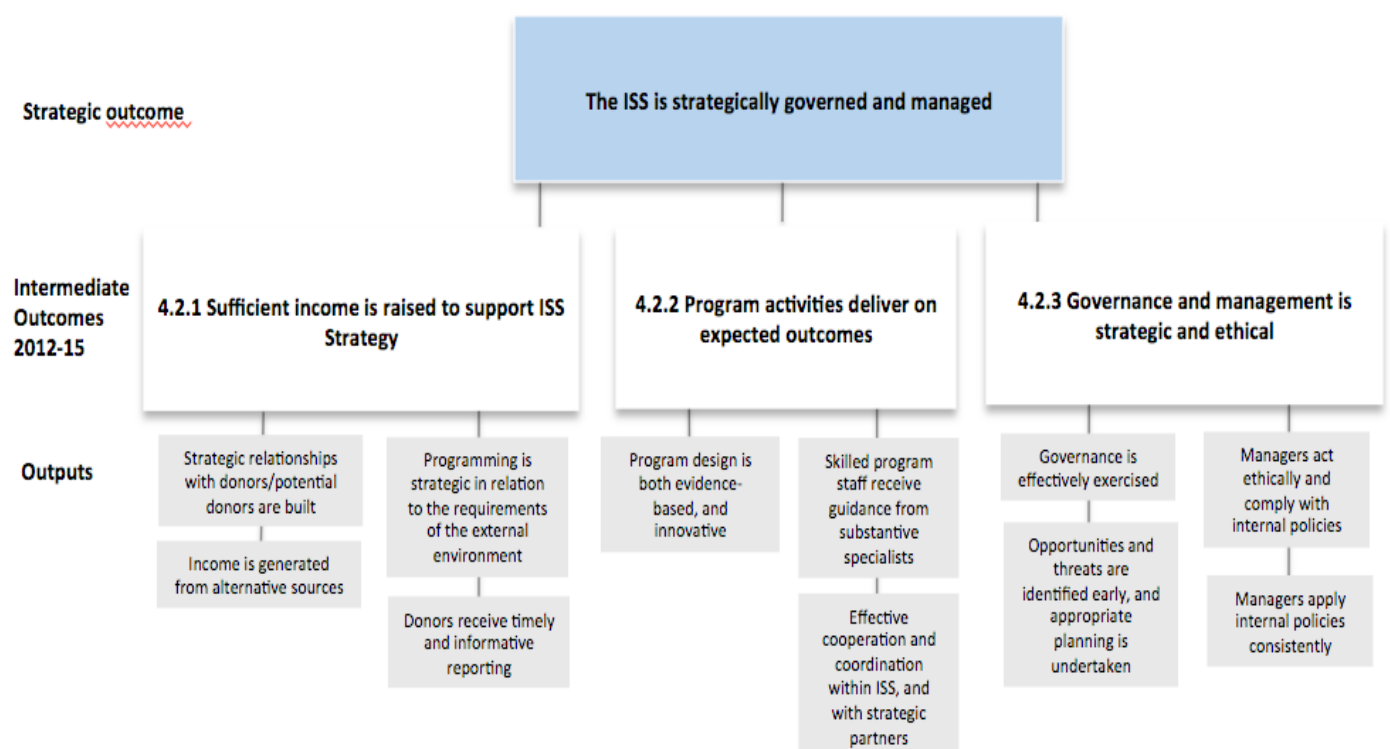
Figure 10



ment of the organisation. The associated volumes are maintained by the Director Operations and available on the ISS Intranet in pdf format. Changes to Institute policy require authorisation by MANCO and comes into effect after a 30-day staff notice period. The ISS policy manual consists of eight parts and will be updated in its entirety to correspond with the strategy.

At office level three committees will operate, as indicated in Figure 10 (above).

Figure 11



## 4.2 Management

The management outcomes for the ISS are presented graphically below in Figure 11.

### Indicators for Intermediate Outcome 4.2.1:

- ☐ 80% or more of the stated annual budget is raised
- ☐ Increased funds from alternative sources such as consultancy

### Indicators for Intermediate Outcome 4.2.2:

- ☐ Monitoring and evaluation indicates achievement of expected results in all ISS divisions
- ☐ Donor satisfaction with ISS programming in all ISS divisions

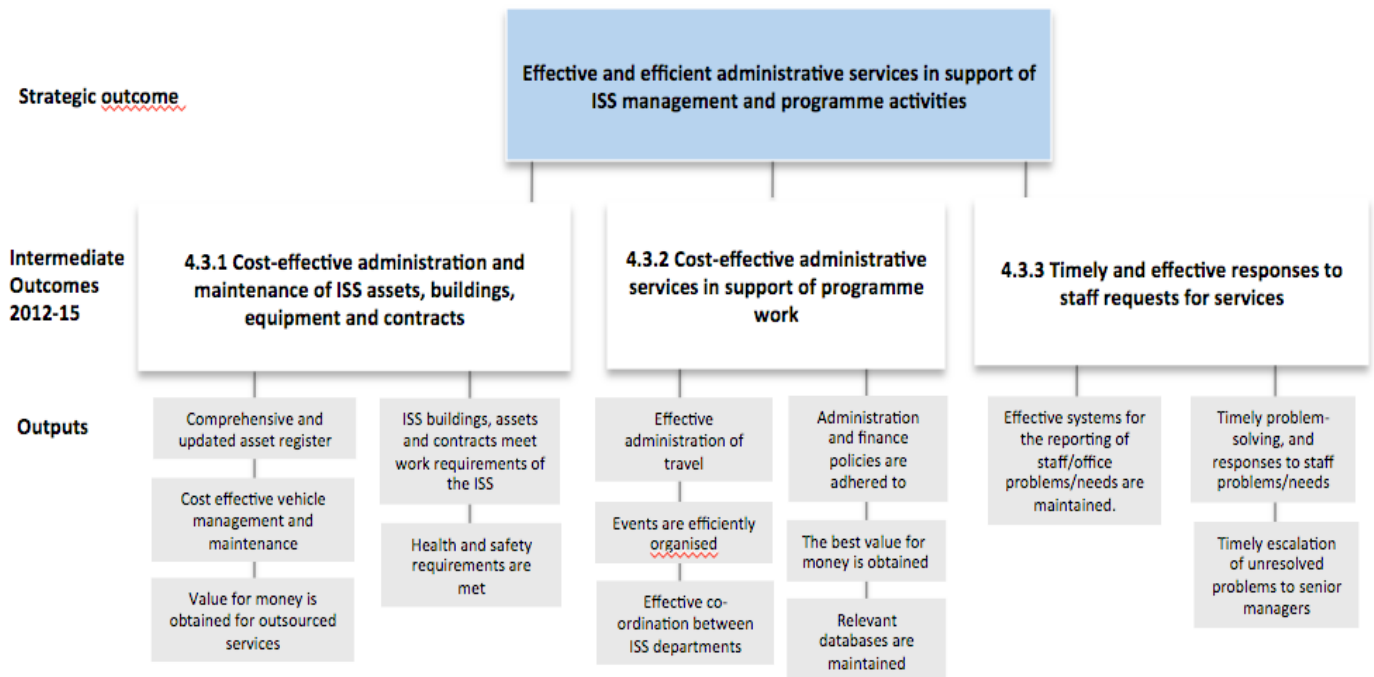
### Indicators for Intermediate Outcome 4.2.3:

- ☐ No negative audit findings relating to the governance and management of the ISS
- ☐ Satisfaction from ISS staff and donors with the governance and management of the ISS

Priorities for 2012 are as follows:



Figure 12



- ❑ Improved fundraising approaches, including co-ordination; and the investigation of consultancy as a new funding stream
- ❑ Continued enhancement of the Partnership Forum and its servicing of information and other needs of members
- ❑ Effective transition into the new ISS structure, beginning in 2012

- ❑ No negative audit findings relating to compliance with internal policies

#### Indicators for Intermediate Outcome 4.3.3:

- ❑ Satisfaction among internal clients with administration services in terms of timeliness and efficiency
- ❑ Effective working relationships with other ISS departments

## 4.3 General administration

The general administrative outcomes for the ISS are depicted graphically in Figure 12 (above).

#### Indicators for Intermediate Outcome 4.3.1:

- ❑ No negative audit findings relating to asset register and asset management
- ❑ No health and safety violations noted during 6-monthly inspection
- ❑ Internal satisfaction in relation to outsourced services (in terms of annual survey)

#### Indicators for Intermediate Outcome 4.3.2:

- ❑ Reduced numbers of complaints relating to travel administration
- ❑ User (internal and external) satisfaction with event management

#### Priorities for 2012:

- ❑ Standardisation of administrative systems across ISS offices and monitoring of compliance against these
- ❑ Standardisation, where appropriate, of administrative staffing across ISS offices

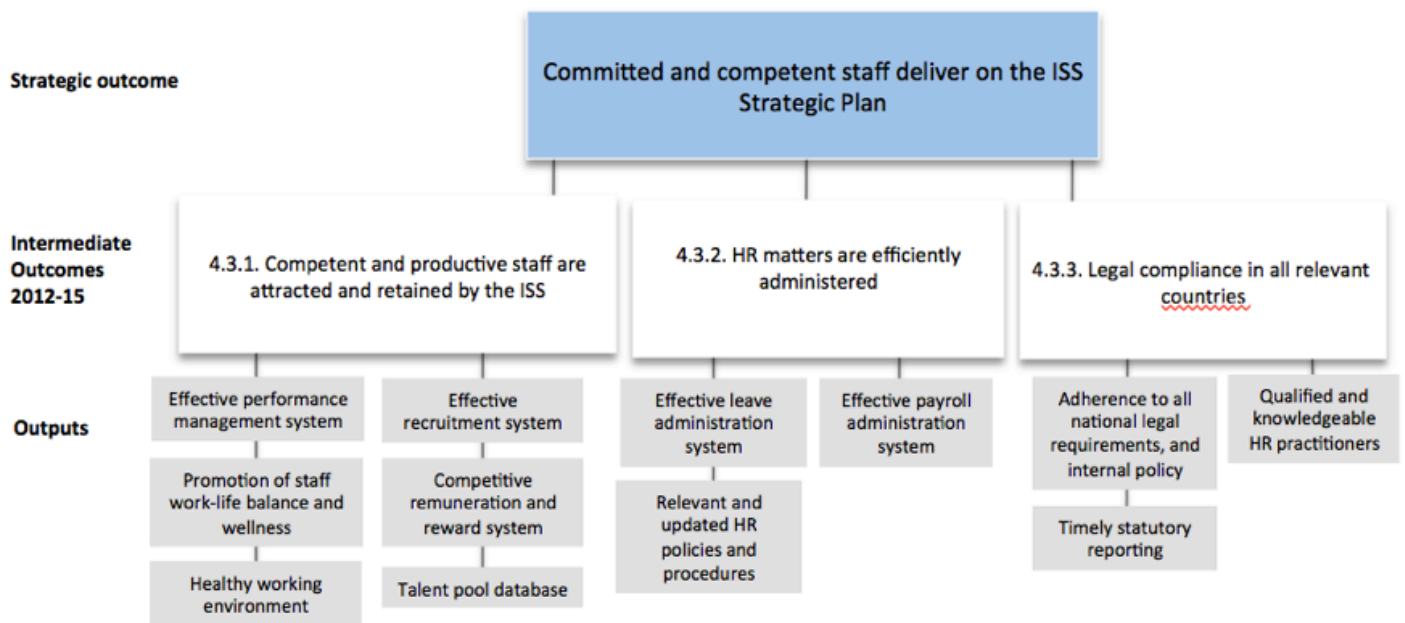
## 4.4 Human Resource Management

The HR outcomes for the Institute are depicted graphically in Figure 13.

#### Indicators for Intermediate Outcome 4.4.1:

- ❑ Updated performance management system in place, and general satisfaction reported by staff
- ❑ Increased staff participation in wellness programmes and activities
- ❑ Improved recruitment system in place

Figure 13



- ❑ Appropriate staff appointed within reduced times
- ❑ Updated remuneration system in place

#### Indicators for Intermediate Outcome 4.4.2:

- ❑ Self-service leave administration system in place across offices
- ❑ User satisfaction with leave administration system
- ❑ Updated payroll system in place
- ❑ No negative audit findings relating to compliance with internal policies
- ❑ ISS policy manual updated as required

#### Indicators for Intermediate Outcome 4.4.3:

- ❑ No negative audit findings in relation to compliance with legislation and internal policies
- ❑ ISS staff satisfaction with HR services
- ❑ All HR staff are qualified in terms of established requirements

#### Priorities for 2012:

- ❑ Implementation of strategies to recruit and retain high-quality staff
- ❑ Building African capacity through ISS internships
- ❑ Promotion of staff wellness
- ❑ Movement from a system of performance appraisals to a performance management system

praisals to a performance management system

## 4.5 Information Technology

The IT outcomes for the Institute are depicted graphically in Figure 14.

#### Indicators for Intermediate Outcome 4.4.1:

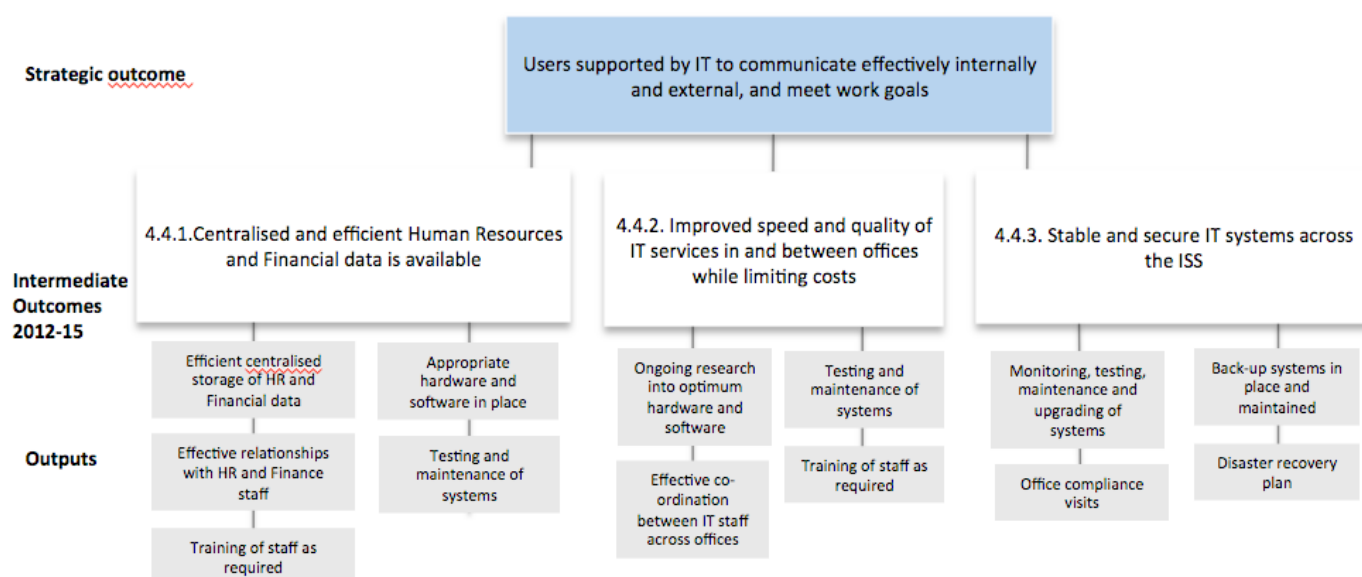
- ❑ Hardware and software in place for management of financial and HR administration
- ❑ User satisfaction from financial and HR staff in relation to functionality of above hardware and software
- ❑ Staff satisfaction with training provided
- ❑ Reduced requests for IT support in skills areas where training has been provided

#### Indicators for Intermediate Outcome 4.4.2:

- ❑ Effective alignment of IT systems across offices
- ❑ Reduced complaints relating to IT co-ordination across offices
- ❑ ISS systems keep pace with external developments in IT
- ❑ Staff satisfaction with training provided
- ❑ Reduced requests for IT support in skills areas where training has been provided

#### Indicators for Intermediate Outcome 4.4.3:

Figure 14



- ☐ Reduced downtime of ISS systems due to internal systems failures
- ☐ All offices comply with ISS IT policy
- ☐ Back-up systems are fully operational
- ☐ Disaster recovery plan and related infrastructure are in place

the entire planning period

- ☐ IT services across offices are aligned

## 4.6 Financial management

The financial management outcomes for the Institute are depicted graphically below in Figure 15.

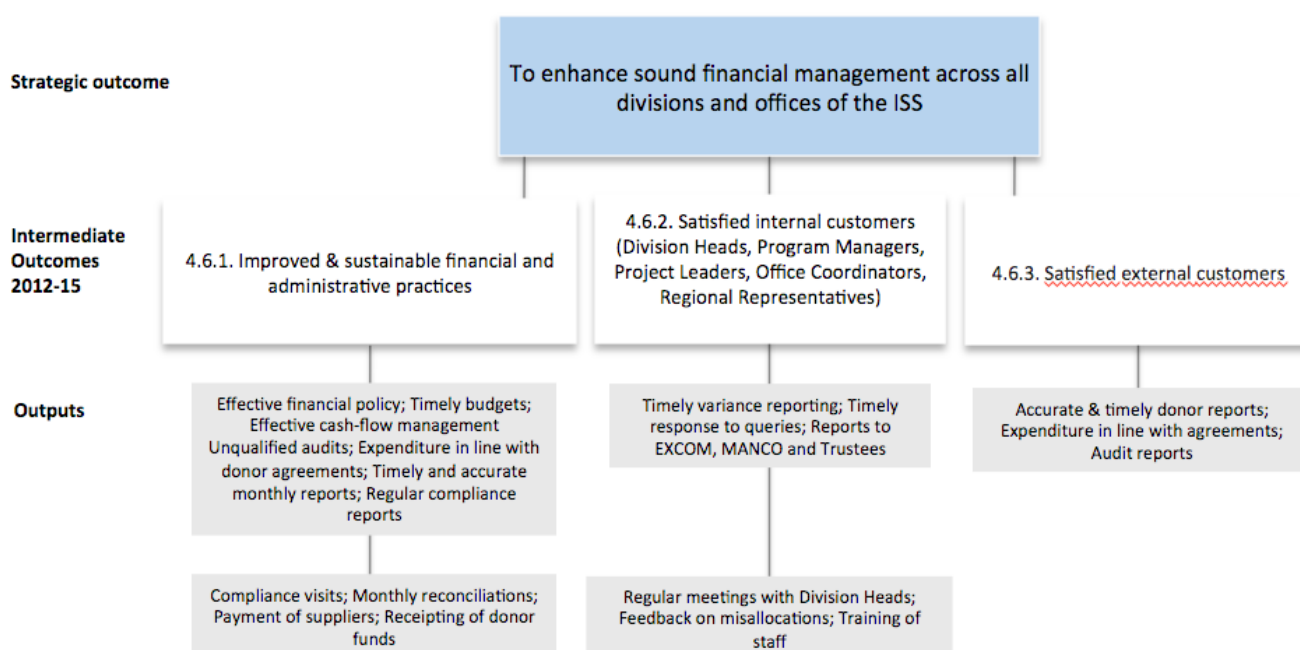
### Priorities for 2012:

- ☐ IT infrastructure and equipment are continually developed and able to support ISS operations for

### Priorities for 2012:

- ☐ Implement the purchase order system across

Figure 15



the group

- ❑ Tightening internal controls
- ❑ Ensure that a centralised accounting system is in place and working

#### Indicators

- ❑ Actual / Income Expenditure vs. Budget (% variance)
- ❑ Delivery of variance reports by the 12th of each month
- ❑ Unqualified audits
- ❑ Internal satisfaction survey (%)

## 4.6 Risk management

Risk is the chance of something happening that may have an impact on the achievement of ISS objectives. Risk management is, therefore, defined as the culture, processes and structures that are directed towards re-

alising potential opportunities while managing adverse effects.

MANCO is collectively responsible for the management of risk within the ISS. It is a shared responsibility. To that end the Director Operations will maintain the ISS risk register in order to track risks, existing control measures and future action plan strategies and ensure due discussion and consideration at EXCOM or MANCO.

The risk register will be discussed at each quarterly MANCO meeting as a standard item on the agenda. The Institute has adopted a practice to explicitly state and capture the top three risks (in terms of likelihood and impact) for each division and for each office, ranking them in terms of consequences, likelihood as well as efficacy of control effectiveness. The Pretoria office will reflect on Institute-wide risks and these will be ranked in order of importance.

## CHAPTER 5

# COMMUNICATIONS STRATEGY

This chapter sets out the communications strategy of the ISS.

The aim of the communications strategy is to transform the way ISS outputs are disseminated to the right stakeholders with the view of increasing our impact. This implies a much more pro-active planning and processing of our outputs by using a wider variety of channels. This is necessary for at least four main reasons: the global move towards online publications; the desire to improve the interactive nature of our outputs; to improve the status of the ISS as a global go-to think tank; and the need for coordinated media interaction.

The move to digital dissemination opens up huge opportunities for institutions like ours to interact with users, improve the quality and clarity of our message and have our policy recommendations heard in innovative ways not possible before. The decision to discontinue The African.org also opens up new opportunities to create an interactive ISS website to this end.

There is a clear need to raise the profile of the ISS as a global go-to think tank. By comparing our outputs with those of other think tanks we aim to improve the quality of our products. The strategy provides an in-depth look at all the ISS publications with suggestions on how to improve their quality and enhance their visibility and dissemination. Effective communications on an on-going basis and during major events are key to establish the ISS as a global go-to think tank.

To maximize impact and gain the greatest benefit from its policy research work, the Institute has adopted a 'hub-and-spoke' model. This implies that policy research is packaged in different media/formats for different stakeholder groups. For example, field research in the eastern Democratic Republic of the Congo may result in a monograph for an academic audience, an article in the African Security Review, a seminar in different ISS offices, a policy paper and a contribution to the PSC Report – this apart from media interviews and the compilation of a podcast after a seminar. In this manner the Institute seeks to maximise the impact of its work.

### 5.1 Outcomes, indicators and priorities

The communication of ISS work is an integrated and cross-cutting responsibility if we are to achieve measurable results with our various stakeholder groups.

The communications outcomes for the ISS are depicted graphically below.

#### Indicators for Intermediate Outcome 4.1:

- ☐ Publications and other outputs are produced within established time frames
- ☐ Functional website is maintained, with reduced complaints from users relating to functionality
- ☐ Targeted dissemination of ISS products is achieved
- ☐ ISS quality standards are adhered to by content producers
- ☐ Effective implementation of marketing plan

#### Indicators for Intermediate Outcome 4.2:

- ☐ Stakeholder surveys reveal stakeholders' needs and preferences relating to the nature and dissemination of ISS products
- ☐ Communications strategy is implemented
- ☐ Communications strategy is evaluated

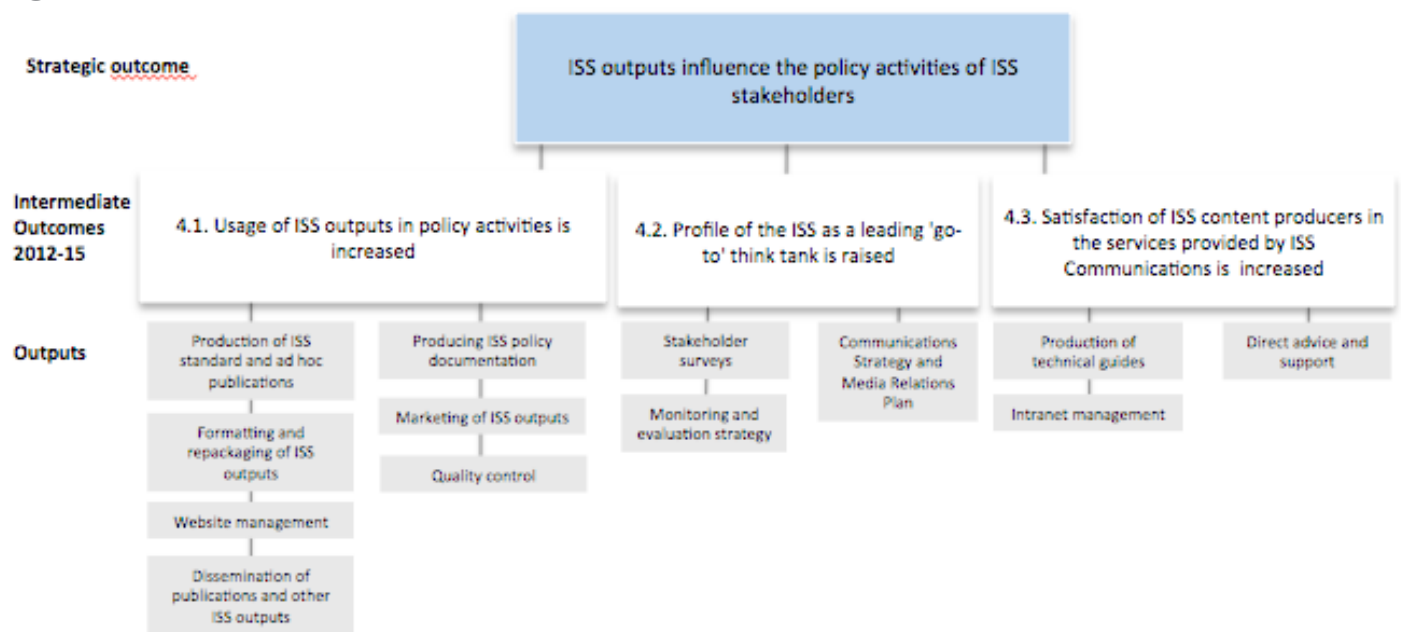
#### Indicators for Intermediate Outcome 4.3:

- ☐ Availability and use of technical guides by ISS content producers
- ☐ User satisfaction with intranet
- ☐ User satisfaction with advice and support provided by Communications staff

#### Priorities for 2012:

- ☐ Integrated communications strategy is developed and implemented across all offices, which will strengthen the dissemination of ISS products via both traditional and new media
- ☐ Establishment of Communications Department that will see the inclusion of the IT and Publication sections into the Communications Department as

Figure 16



part of the development and implementation of a communications strategy across ISS offices

## 5.2 Website(s)

The ISS website and its sub-sites like the Crime Hub, the African Futures website and others are the main platforms where ISS products are showcased. The website and sub-sites also function as a central repository of all ISS-related materials and outputs that are available for public dissemination.

The ISS will only consider stand-alone websites if the site is a partnership with another organisation, or if the ISS acts as a secretariat.

Despite the steady growth of broadband penetration in markets other than South Africa, it is expected that Addis Ababa, Dakar and Nairobi will still need significant amounts of printed outputs. Using SA as a testing ground, the Institute will adopt a gradual move to online support to be completed by the end of the strategic period.

The main site will move to a user-friendly, interactive go-to platform for discussions on current affairs in Africa. The website will reflect the 'think tank' element of the ISS and provide researchers across the Institute

with a forum to comment on current issues. It will provide cutting-edge analysis and comment in a reader-friendly, non-academic format for a wider audience than other ISS publications. It will also make extensive use of multimedia to ensure that it captures readers' attention and have maximum impact. An example of the style of the writing on the website would be that on the *Daily Maverick/iMaverick*. An example of presentation is the website of the Brookings Institute (the top Think Tank on the Global list of Go To Think Tanks for the use of Internet and Social Media). An example of online debates is the Economist debate on [www.economist.com/debate](http://www.economist.com/debate).

As technology develops and enhancements to user connectivity are improved, additional multimedia enhancements will be implemented, dependent on capacity, budgets and funding availability. These multimedia enhancements include:

- ☐ Audio slideshows/presentations
- ☐ Photo essays
- ☐ Interactive mapping system

Online enhancements should continue to attract a larger audience, as evident in the growth of the ISS website user base. This continued upward trend is fuelled by consistent user experience development on the ISS website and supported by regular content



updates. To ensure this trend continues, constant user experience (UX) enhancements will be added as and when funding availability dictates.

The current advancement of adaptive and responsive websites poses great growth potential for the ISS, especially in targeted stakeholder UX. Adaptive and responsive websites adapt to the size of the screen being used. For example, if a user is accessing the ISS website (or any other ISS-owned site) via an iPad, the website automatically displays in optimal format for the device. An example and descriptive of this technology can be seen on <http://easy-readers.net/books/adaptive-web-design/> (NOTE: Adjust browser size while viewing the site to see how the site responds to your changes.)

This technology could potentially replace the need to produce Android, iOS and Windows Mobile applications for mobile users.

The daily CPRA briefings and the subsequent daily reports are an immensely valuable resource for the ISS. It is already widely read electronically and is a popular ISS product. Updating the look of the Daily Briefing in line with the redesign of other ISS publications will contribute to maximising its impact, as the packaging of publications has been shown to have an effect on the reader's perception of quality and relevance. The Daily Briefing will then be profiled together with the ISS Today.

### 5.3 Printed publications

Efforts to upgrade the international accreditation of the *African Security Review* should continue. As a first step, a much more active role by the ASR editor is envisioned. The ASR could also lead in organising research colloquiums or seminars of a more academic nature.

At the moment ISS policy briefs and situation reports are distributed in pdf-format. All divisions have these as part of their deliverables, specifically by having researchers repackage papers and monographs as either policy briefs or situation reports. This will widen the ISS reach in terms of impact, as policy briefs and situation reports are very specifically targeted at policy

makers. The *South African Crime Quarterly*, like the *Peace and Security Council Report*, is an excellent product with a targeted audience.

The Institute has taken a decision to limit the publication of monographs and books to a strict minimum and to publish the latter through a publishing house.

### 5.4 Multimedia

The ISS multimedia outreach consists of audio and video outputs available to stakeholders via the Internet. The audio components are in the form of various podcasts, while the video component is in an infancy stage and is currently being developed.

The ISS currently produces various audio podcasts and their use will be reviewed in line with user trends.

The ISS recently launched the ISS YouTube channel for video and has produced promotional and seminar-related material for the African Futures Project as a start. These videos are also posted to the main ISS website and relevant sub-site.

Future video planning at the ISS includes divisional promotional videos and an ISS promotional video (2012) provided by KM as a service to both divisions and the ISS. Online video streaming of ISS events is in progress for discussion during 2012, and potential implementation during 2013. Once online video streaming of ISS events is established in Pretoria, the other offices will be approached to implement the same system.

Core to the future of stakeholder engagement in multimedia is improving the quality of multimedia products. This improvement starts at the basics of multimedia productions and includes elements in the branding and promotion of these products.

### 5.5 Social media

The ISS has experimented very successfully with Facebook advertising for the various Facebook-owned channels and intends to expand the use of this media to the maximum extent possible.



## CHAPTER 6

# PLANNING, MONITORING, EVALUATION AND REPORTING

As reflected in Chapter 2, the Institute recognises the importance of monitoring and evaluation (M&E) as an integral part of project management to ensure transparency and accountability. It therefore endeavours to have a monitoring and evaluation plan as a value add to the overall focus on outcomes and impacts, as well as outputs and activities. The monitoring and evaluation processes enhance the push towards results-based management.

The principles and policies of the ISS concerning planning, monitoring, evaluation and Reporting (PMER) are guided by, and grounded in, the values of accountability, transparency and learning. The purpose of the Institute's M&E policies are to champion good internal governance by establishing the necessary conditions for programme relevance, efficiency, effectiveness, impact and sustainability.<sup>1</sup>

The ISS has adopted a planning approach based on result-based planning, monitoring and evaluation.

Results-based monitoring and evaluation systems are essential components of the governance structure. These M&E systems provide critical information and empower policymakers to make better-informed decisions.<sup>2</sup>

Results-based management needs strong organisational leadership in supporting a learning culture that values evidence-based information and openness.

Results-based management focuses on outputs, outcomes, impact and the need for sustainable benefits. Results are the changes occurring as an effect of a development intervention and imply that a change of behavior by individuals, groups of people, organisations, government bodies or society has taken place.<sup>3</sup>

ISS results-based management applies a results chain (see Figure 17) to plan a clear logical process and manage the implementation.

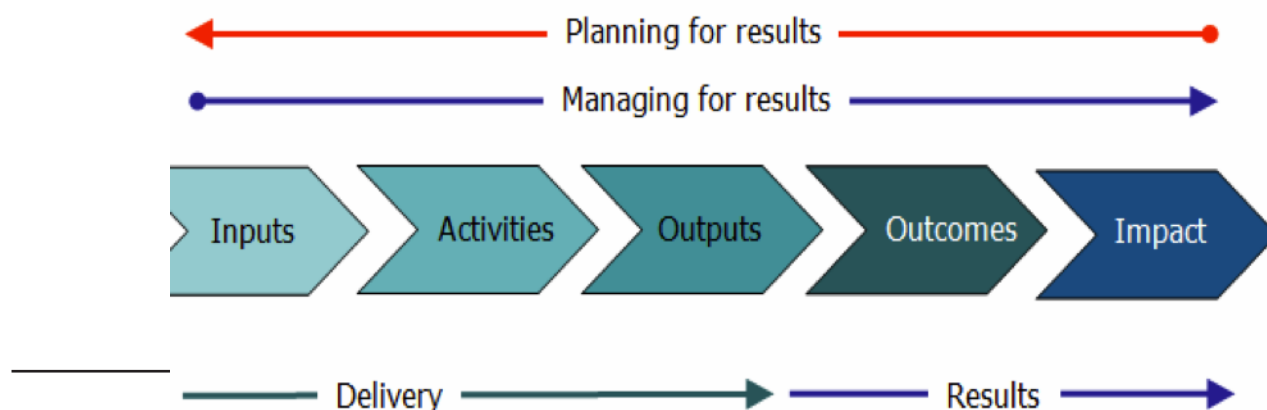
ISS results-based management provides a sufficiently robust methodology to develop projects that are able to focus on a direct solution to a perceived problem and create its own measurement milestones and indicators that can withstand scrutiny and be trusted to represent the reality of the situation.

The ISS reporting cycle contains internal quarterly reporting, six monthly external reporting and an annual report.

The ISS has implemented internal oversight processes, with quarterly internal and six-monthly external progress reports, and is subject to annual external audits. The ISS co-ordinates with donors to ensure aligned and adequate project reporting formats.

The Planning, Monitoring, Evaluation and Reporting outcomes for ISS are presented in Figure 18 on page 38.

Figure 17



## Priorities for 2012 are to:

- ❑ Increase the awareness and knowledge level of all staff on results-based monitoring and evaluation (RB M&E).
- ❑ Ensure all aspects of RB M&E are introduced and implemented in a phased approach to ensure ownership at all levels over the next two years.

## Indicators for Intermediate Outcome 1:

- ❑ Greater understanding and clarity on effective

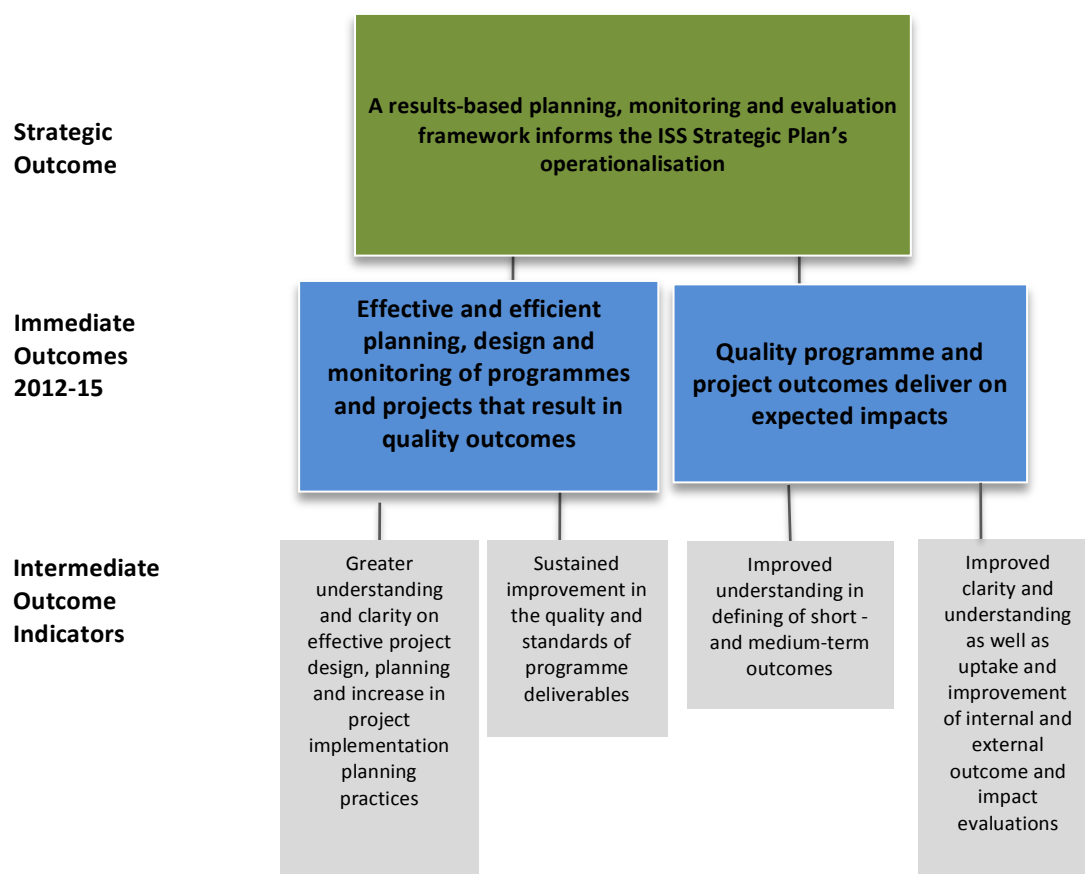
project design, planning and increase in project implementation planning practices.

- ❑ Sustained improvement in the quality and standards of division deliverables.

## Indicators for Intermediate Outcome 2:

- ❑ Improved understanding in defining short- and medium-term outcomes.
- ❑ Improved clarity and understanding as well as uptake and improvement of internal and external outcome and impact evaluations.

Figure 18



1. Note: These policies have been adapted from The African Evaluation Guidelines of the African Evaluation Association (AEA). The evaluation criteria of relevance, efficiency, effectiveness, impact and sustainability are drawn from the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD).

2. The World Bank, Monitoring and Evaluation: Some Tools, Methods, and Approaches, Washington, D.C.: The International Bank for Reconstruction and Development, 2004.

3. Results Based Monitoring and Evaluation Toolkit, Local Livelihoods, Freer Spreckley, 2009.

## CHAPTER 7

# FUNDRAISING STRATEGY

Strategically the Institute is heavily dependent upon a few European partners – a vulnerable situation exacerbated by the global financial crisis that is currently unfolding. Our focus during this phase is therefore on expanding our donor pool to include at least one African government (Nigeria, South Africa, Ethiopia, Kenya and Senegal), two new country donors (such as Brazil, India, China, Malaysia, Turkey and South Korea), the business community, commercial development partners (such as DAI and Adam Smith), foundations (such as MacArthur and the Carnegie Corporation) and additional donors (such as Canada, Luxembourg, Australia and New Zealand), while continuing to service our current partners.

**Fundraising is an Institute-wide responsibility**, but the following key responsibilities apply:

- ❑ Core funds and management of the ISS Partnership Forum: Executive Director
- ❑ Divisional fundraising: Division Heads
- ❑ Programme and project fundraising: Programme and Project Managers
- ❑ Office directors and managers are responsible for maintaining donor relations and support to others as set out above

The Institute has approved the following **types of proposals**:

- ❑ A comprehensive ISS fundraising proposal for 2012–2015, including the ISS institutional goal hierarchy and indicators tree
- ❑ A proposal per division (i.e. additional five thematic proposals in total) to which we added the specific division goal hierarchy and indicators tree
- ❑ Project proposals (such as for the African Centre for Peace and Security Training) and for various specific activities/outcomes/issues/projects. These are of an ad hoc nature and are developed as opportunities arise.

During this strategic phase divisions may establish divisional partnership forums (i.e. in addition to the ISS Partnership Forum for core partners) consisting of all the partners of a particular division, therefore including core and project donors.

In addition the Institute will expand the extent to which it pursues opportunities for consultancy work within its areas of focus.

## CHAPTER 8 CONCLUSION

The purpose of the ISS strategy for 2012–2015 is to build and consolidate the position of the ISS as the leading ‘go-to’ applied policy research, training and assistance organisation on human security in Africa. Following the 2008–2011 strategic period and the rapid growth of the organisation, in this phase the focus is on improving the quality and impact of our work, which implies a response to four key challenges:

- ❑ Focus on areas of comparative advantage – shed those that are not in line, combine where possible and structure the Institute accordingly
- ❑ Improve the impact and quality of the Institute’s work
- ❑ Modernise the mode of external engagement by using new social media
- ❑ Greater financial sustainability and cost effectiveness

Given the size of the Institute, the key challenge now

is to find a balance between the competing demands of ensuring and maintaining our pan-African character through regional decentralisation, while at the same time allowing for greater integration and streamlining of the work of the Institute through central coordination. To meet this challenge the Institute needs to be a truly strategy-driven and results-based organisation where tight performance management systems at every level link our strategy to individual work plans. At the core of the new strategy, thus, is the consolidation of the various ISS programmes from 2008–2011 into five key result areas, each structured as an inter-office division as from 2012. Together, the divisions and their respective strategic outcomes will propel the ISS forward and move it closer to fulfilling its mission of enhancing human security in Africa.

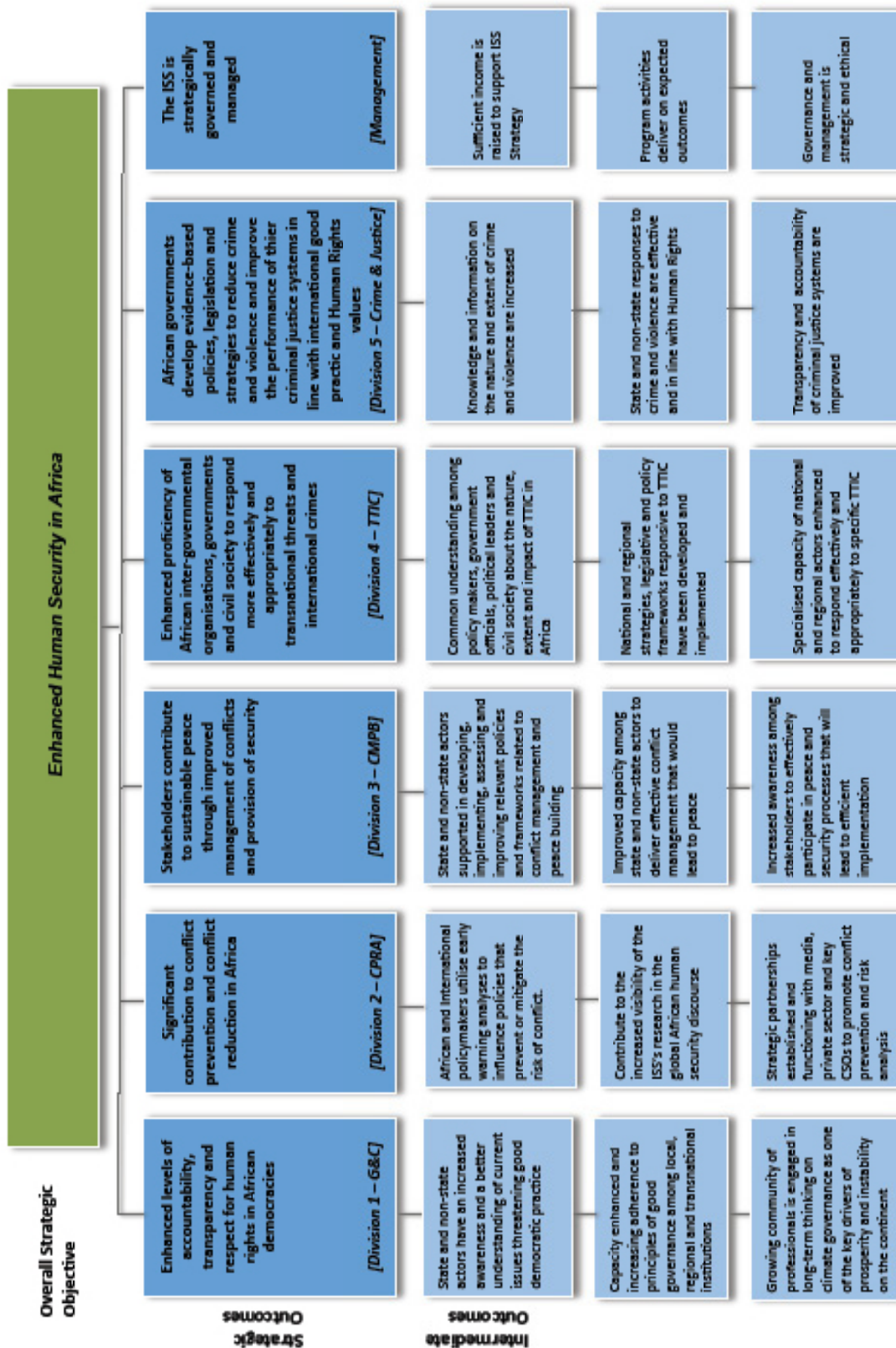
Should the Institute achieve its set strategy, its divisions will be active as follows:

Figure 19

### Areas of work by 2015

OFFICE→ DIVISION↓	PRETORIA	ADDIS ABABA	DAKAR	NAIROBI
Gov & Corruption				
Conflict Prev & Risk Analysis				
Conflict Man & Peacebuild				
Transnat Threats & Intern Crimes				
Crime & Justice				
<i>Cross-cutting initiatives</i>	NY Liaison office?	ACPST		
	Internships to build African capacity			
<i>Cross-cutting Issues</i>	Climate change			
	Gender mainstreaming, Pan-African character			

# ISS Goal Hierarchy



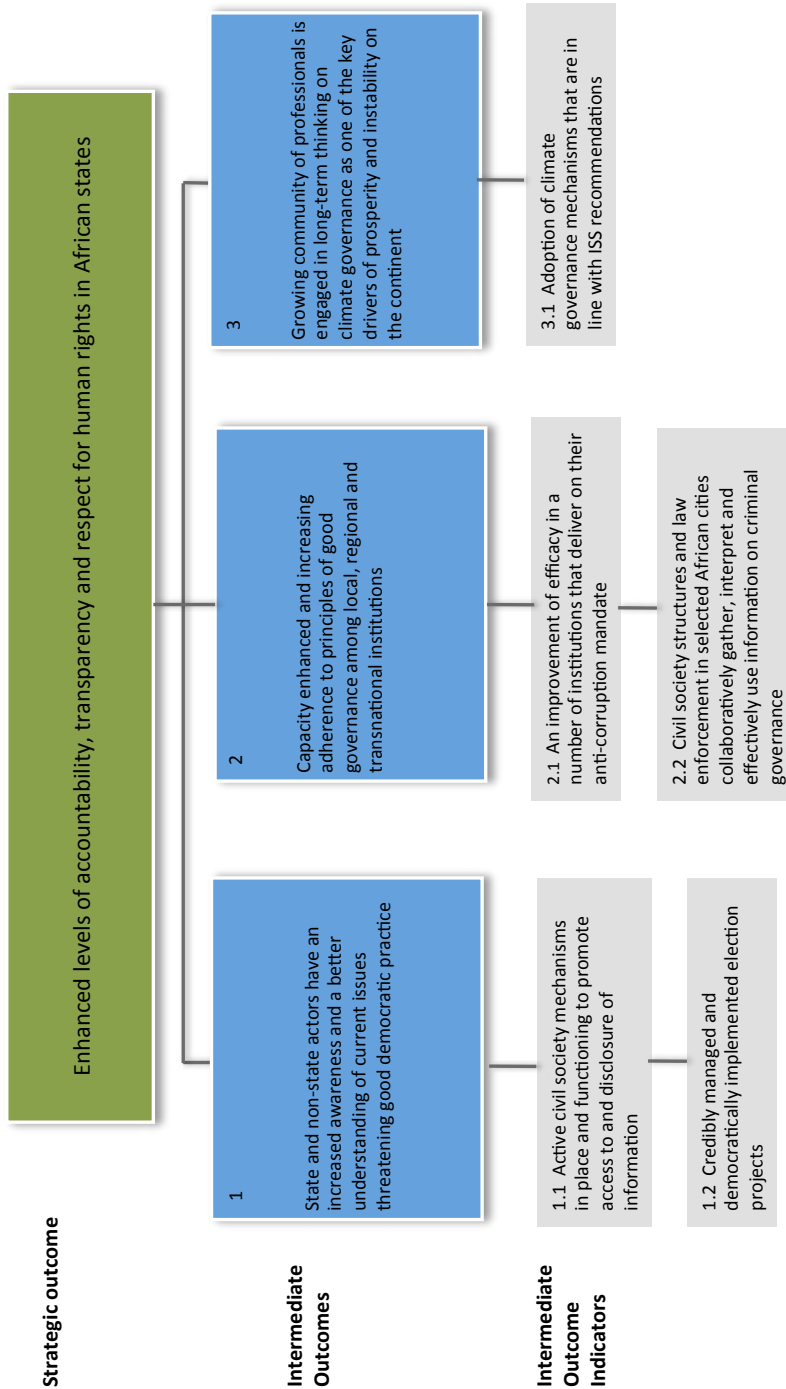
## ANNEX A INSTITUTIONAL GOAL HIERARCHY



## ANNEX B

### KRA 1 GOAL HIERARCHY

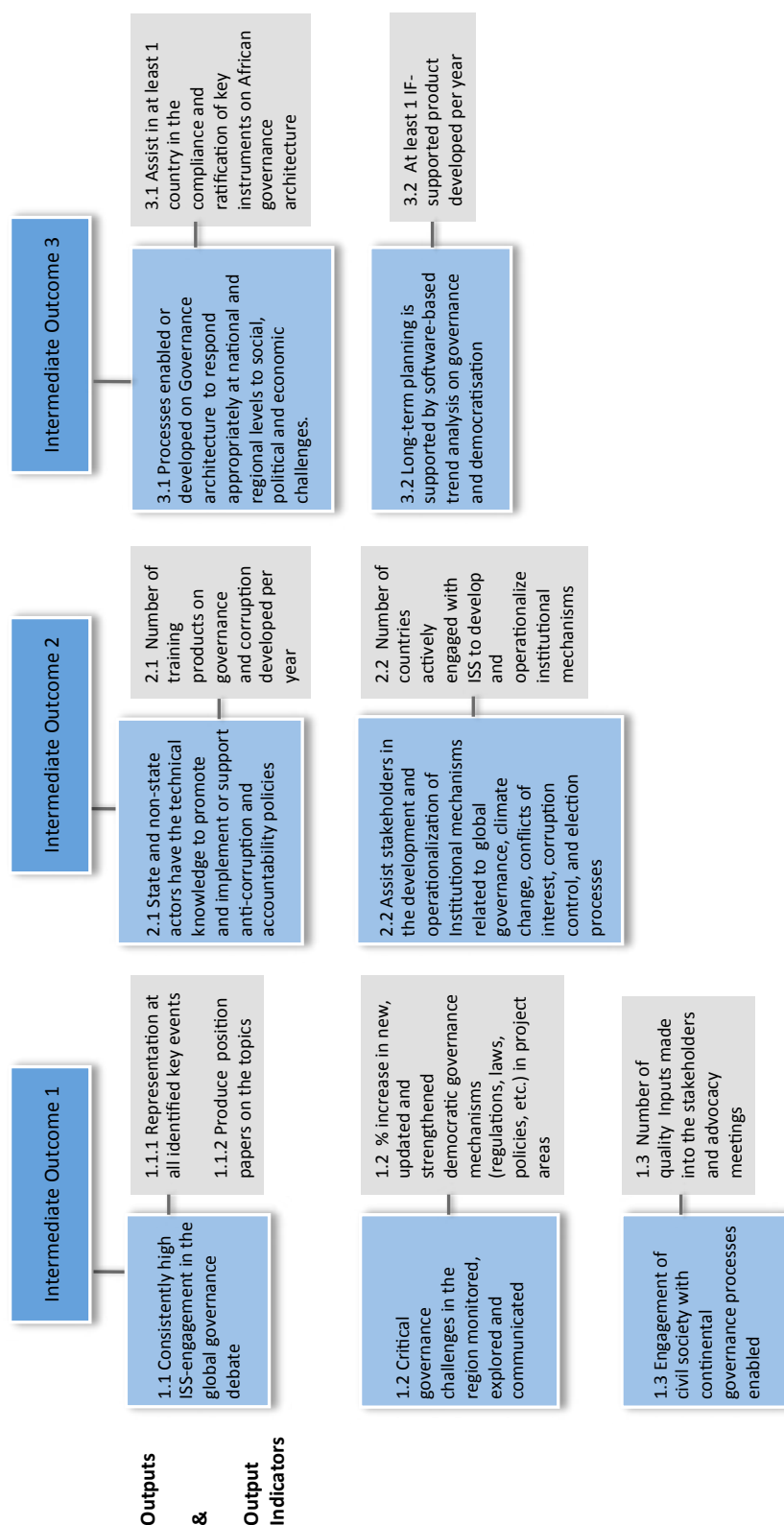
Division 1: Governance and Corruption (G&C)



## ANNEX C

### KRA1 INDICATOR TREE

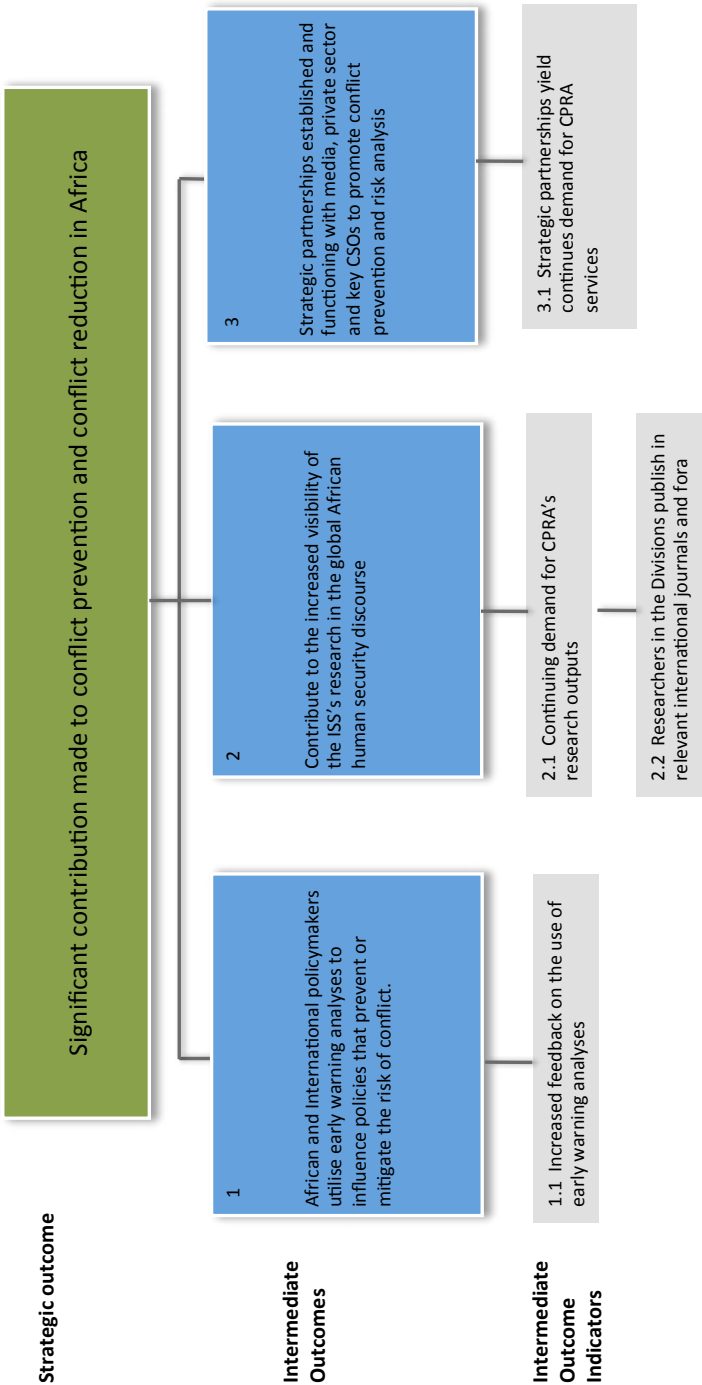
#### Division 1: Governance and Corruption (G&C)



ANNEX D

KRA2 GOAL HIERARCHY

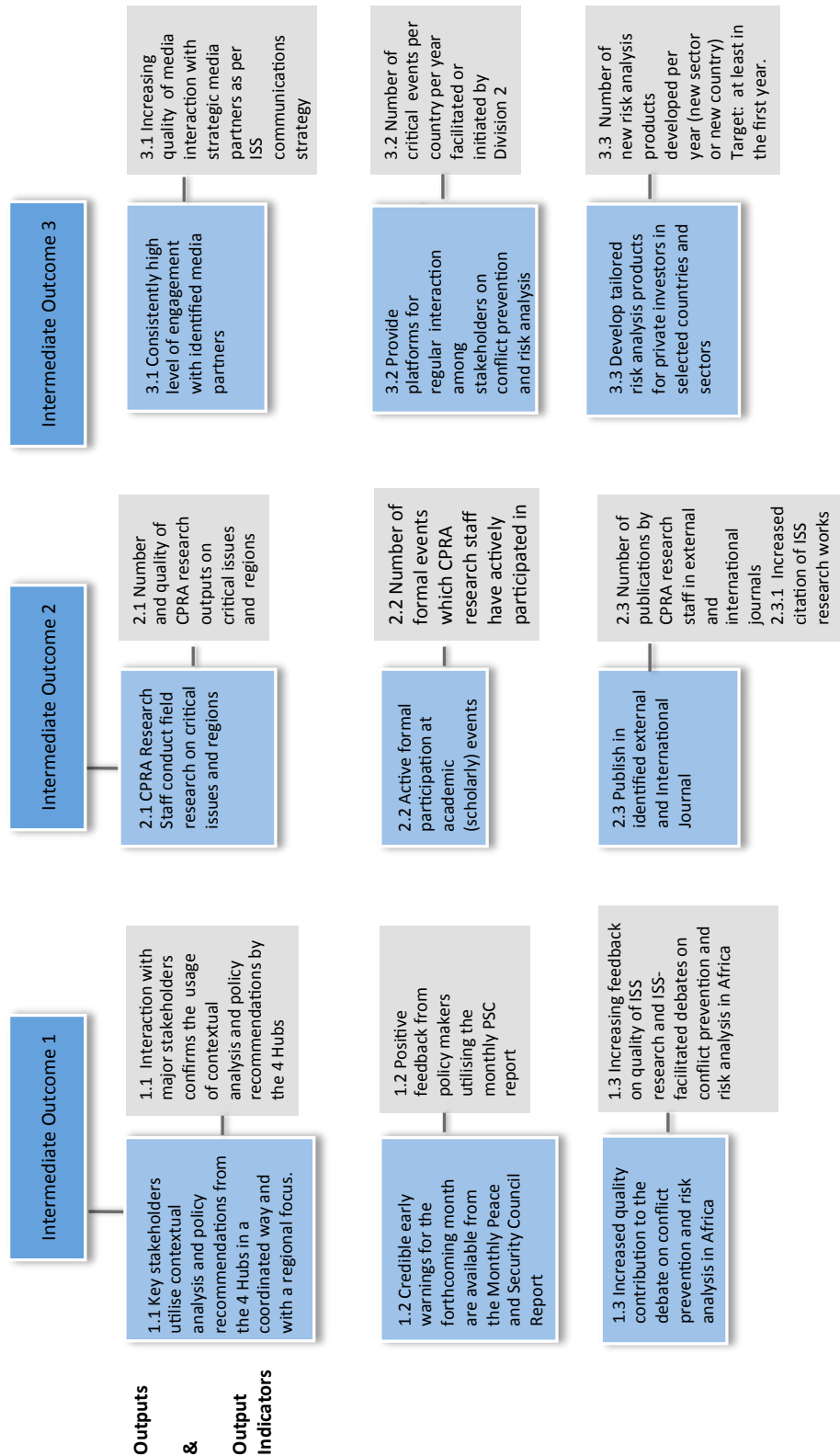
Division 2: Conflict Prevention and Risk Analysis (CPRA)



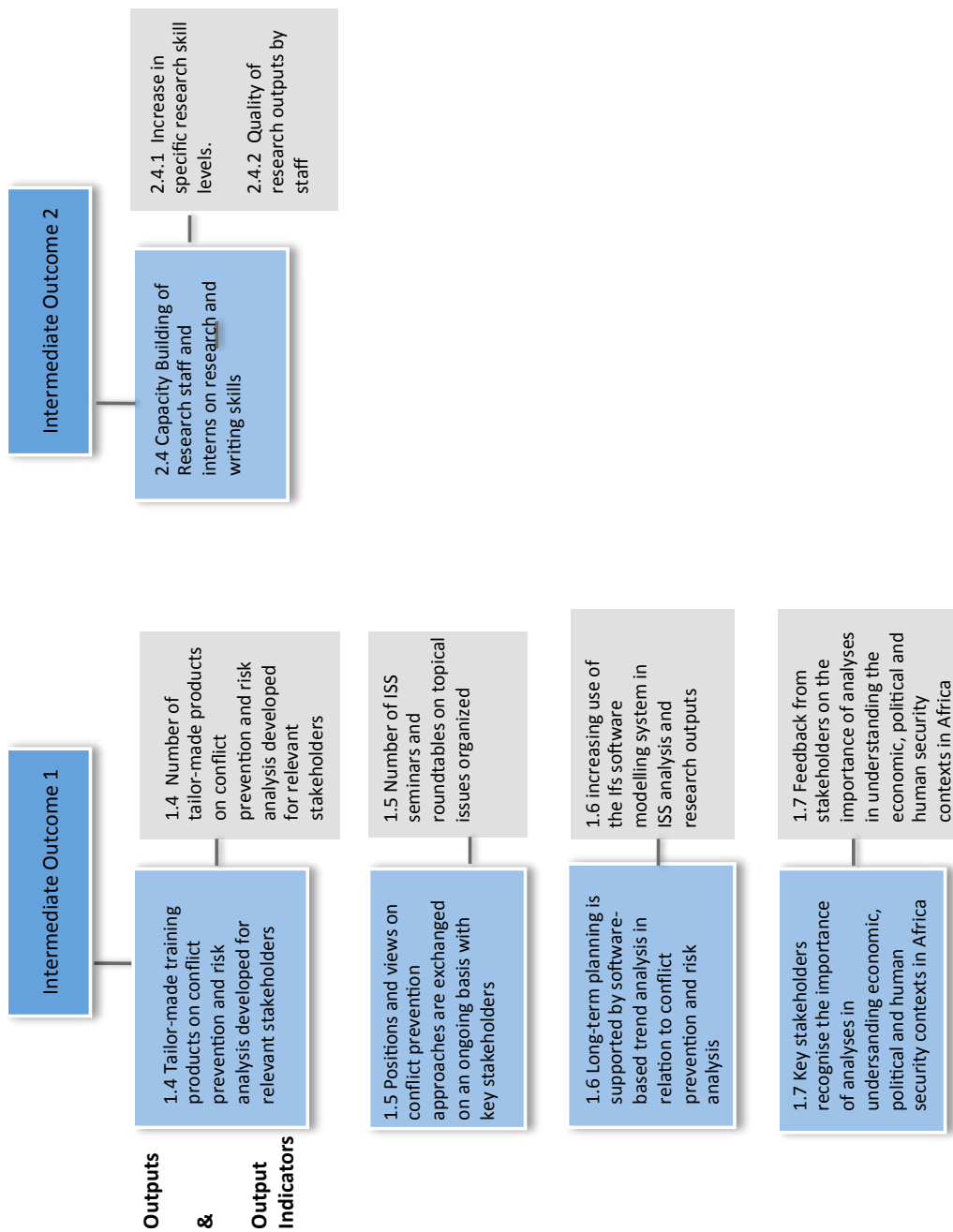
## ANNEX E

### KRA<sub>2</sub> INDICATOR TREE

#### Division 2: Conflict Prevention and Risk Analysis (CPRA)



## Division 2: Conflict Prevention and Risk Analysis (CPRA)

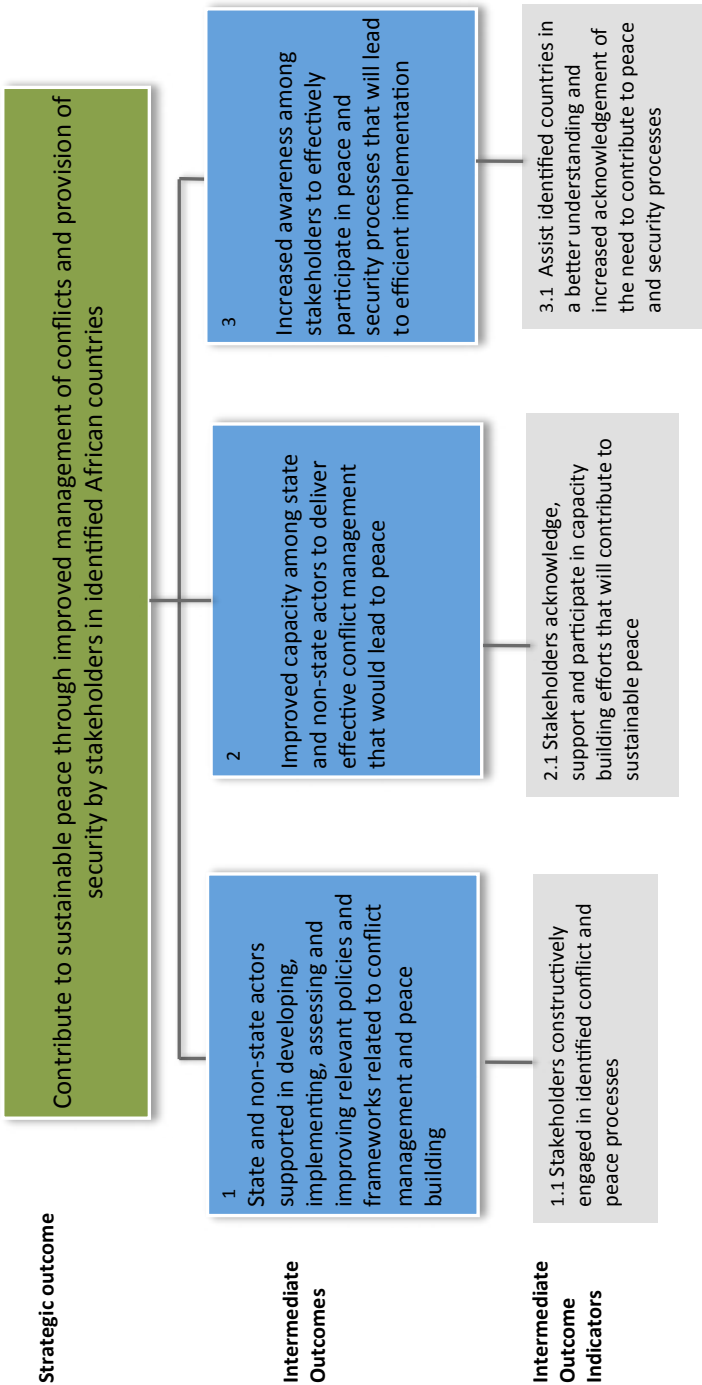




ANNEX F

KRA3 GOAL HIERARCHY

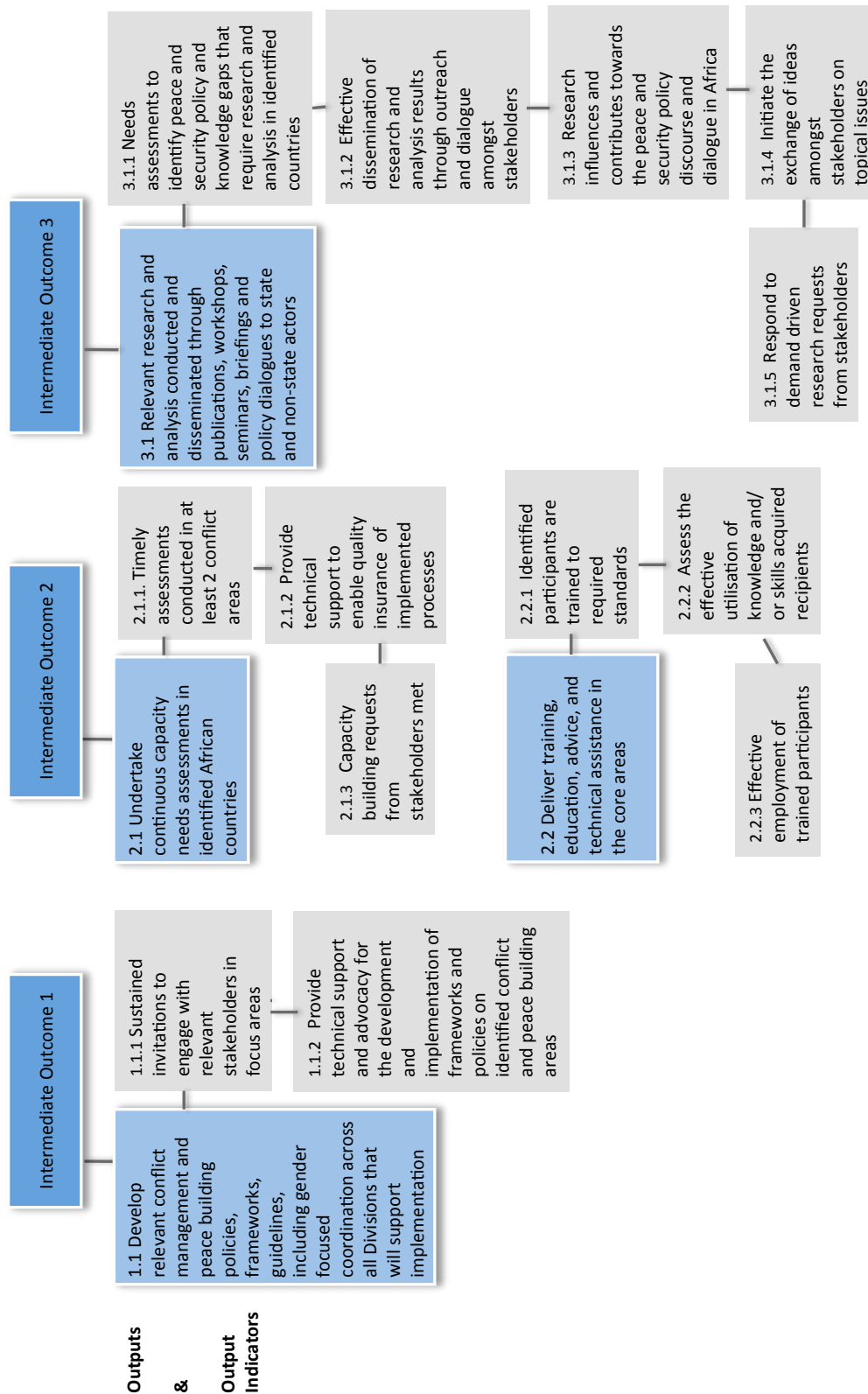
Division 3: Conflict Management and Peace Building (CMPB)



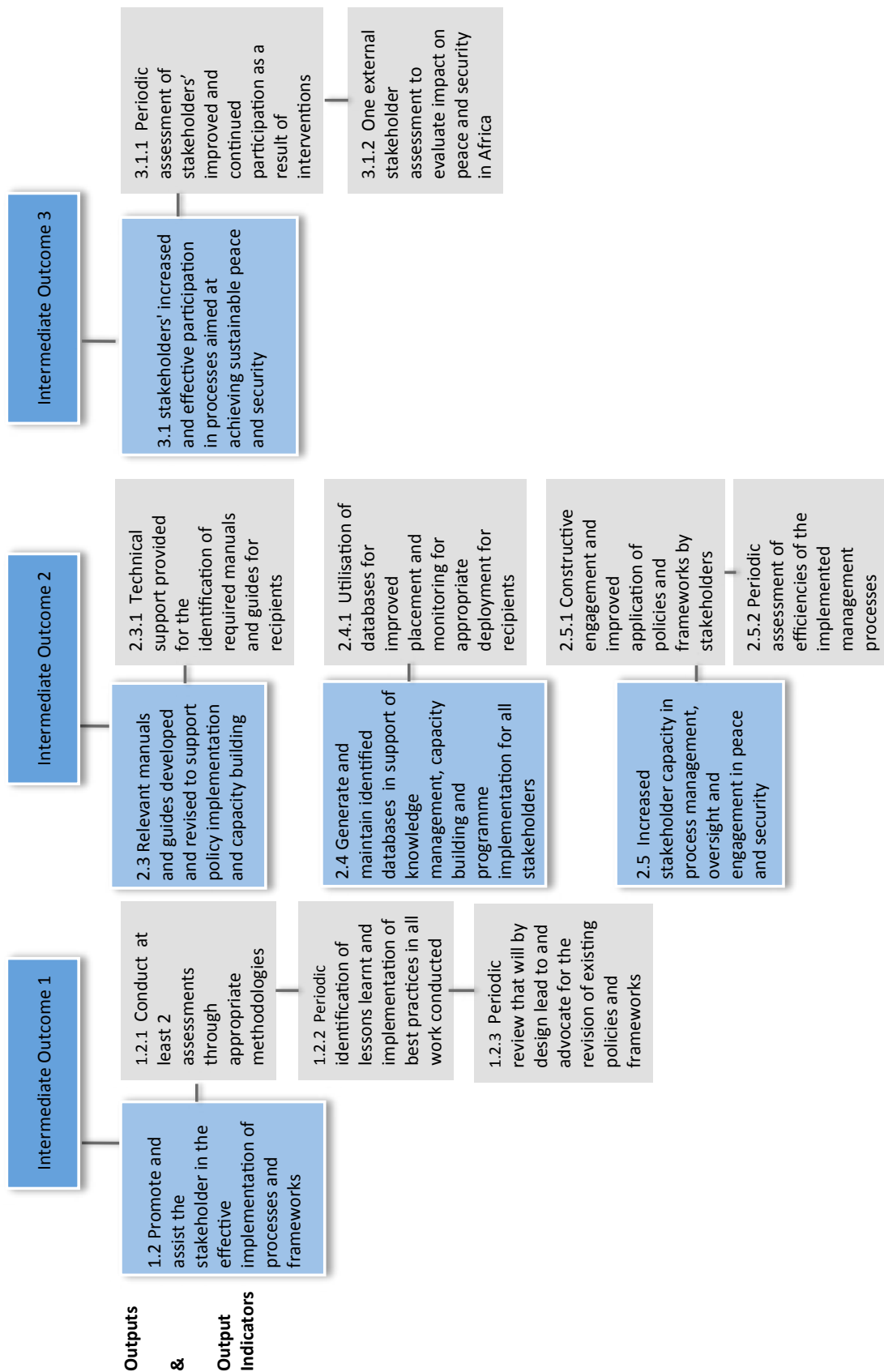
## ANNEX G

### KRA<sub>3</sub> INDICATOR TREE

Division 3: Conflict Management and Peace building (CMPB)



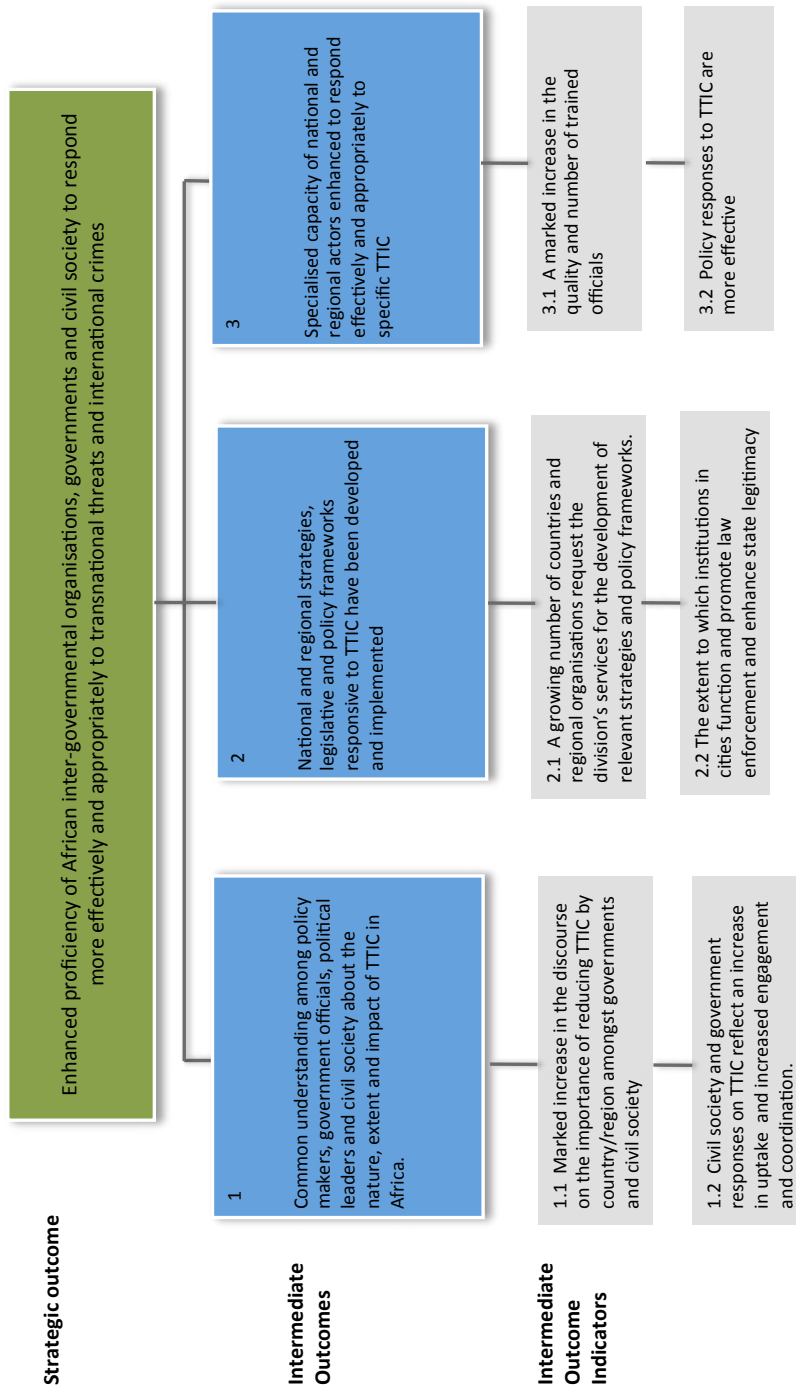
## Division 3: Conflict Management and Peace building (CMPB)



## ANNEX H

### KRA4 GOAL HIERARCHY

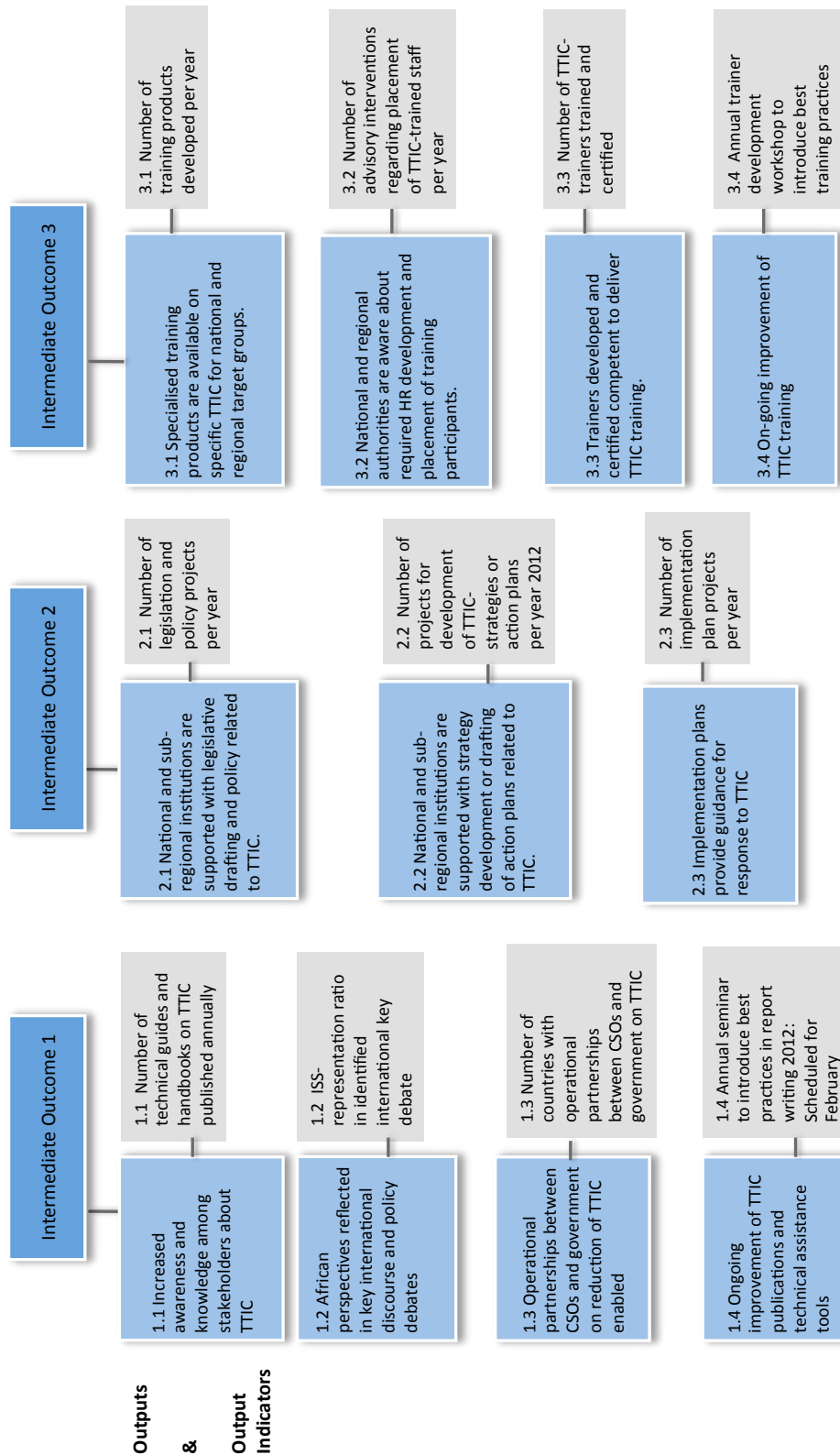
#### Division 4: Transnational Threats and International Crime (TTIC)



# ANNEX I

## KRA4 INDICATOR TREE

Division 4: Transnational Threats and International Crime (TTIC)

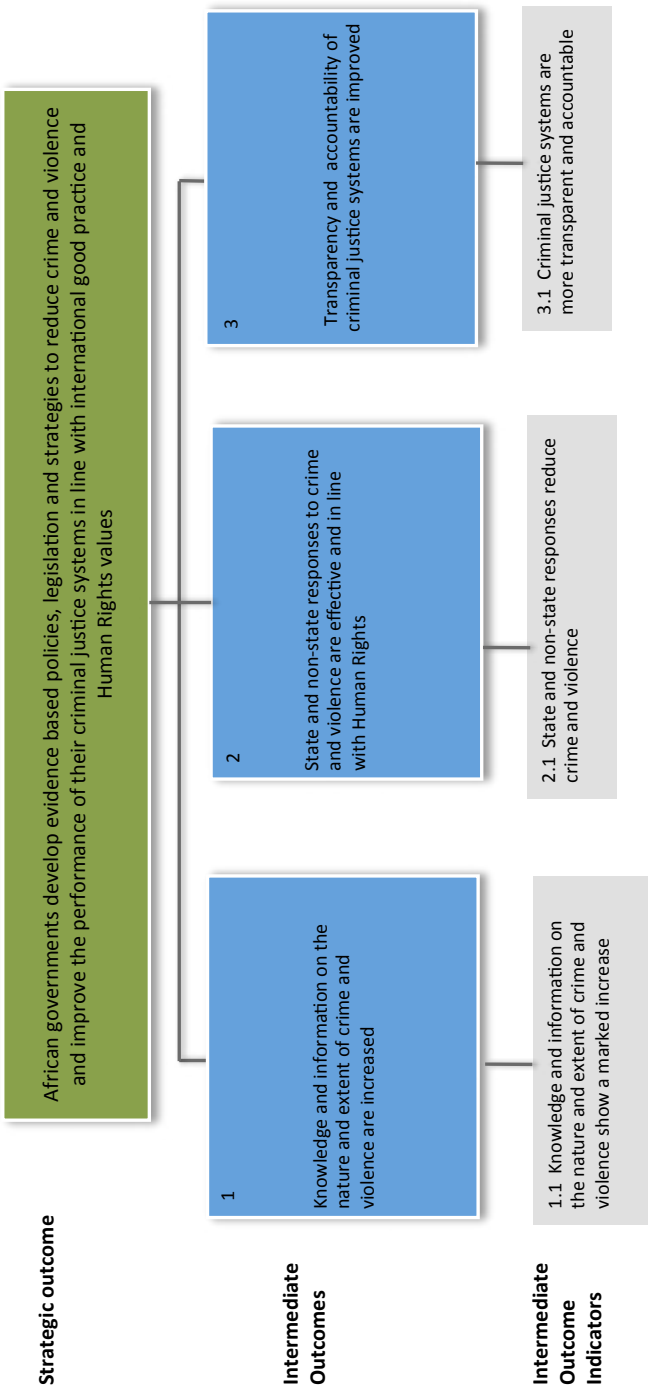




ANNEX J

KRA5 GOAL HIERARCHY

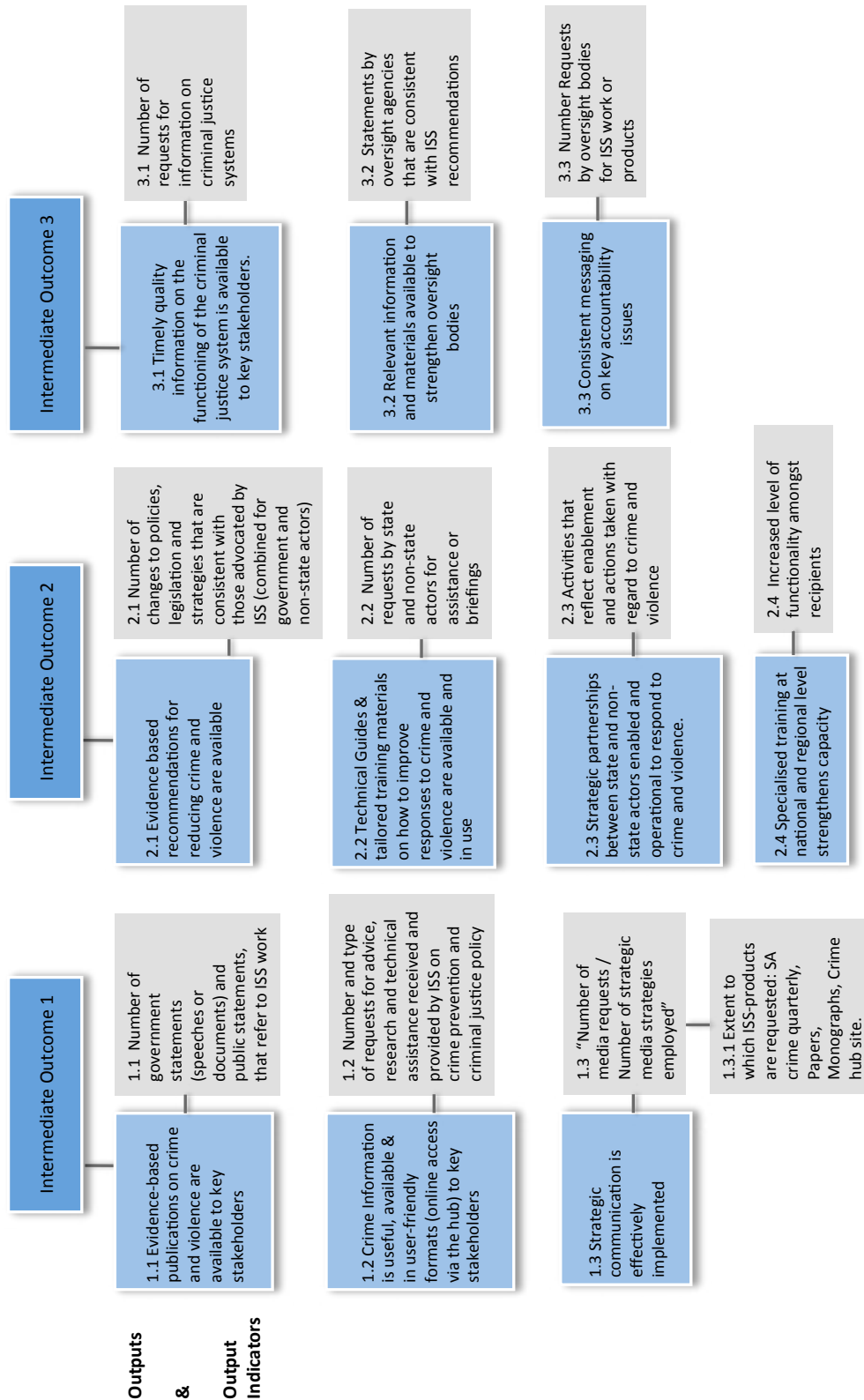
Division 5: Crime and Justice (C&J)



# ANNEX K

## KRA5 INDICATOR TREE

Division 5: Crime and Justice (C&J)



# ANNEX L

## FINANCIAL PROJECTIONS

Note: All figures in Euro.

### ISS SUMMARY BUDGET 2012

	REVISED 2012	REVISED 2013	REVISED 2014	REVISED 2015
	EURO			
<b>DIVISION BUDGET</b>				
Division 1 - Gov & Corr	807 586	343 817	357 570	371 872
Division 2 - Conflict Prev & Risk	2 177 916	1 901 140	1 977 186	2 056 273
Division 3 - Conflict Man & Peac	1 655 190	1 382 894	1 438 210	1 495 738
Division 4 - Transnational Threa	3 052 646	3 135 496	3 260 916	3 391 352
Division 5 - Crime & Justice	660 694	553 111	575 235	598 245
African Center for Peace & Security Trg	604 246	867 703	902 411	938 508
Sub-Total	<b>8 958 278</b>	<b>8 184 161</b>	<b>8 511 527</b>	<b>8 851 989</b>
<b>OFFICE ADMIN BUDGETS</b>				
ADMIN PTA OD	97 422	334 941	348 339	362 272
ADMIN CTN OD	118 929	-	-	-
ADMIN NBO OD	57 143	372 240	387 130	402 615
ADMIN ADDISOD	159 104	236 741	246 211	256 059
ADMIN DAKAR OD	445 022	97 979	101 898	105 974
Sub-Total	<b>877 620</b>	<b>1 041 901</b>	<b>1 083 577</b>	<b>1 126 920</b>
<b>Support Budgets(HR, IT, Finance, Research, Knowledge Management, Publications)</b>	1 070 696	1 424 686	1 481 673	1 324 827
<b>TOTAL</b>	<b>10 906 594</b>	<b>10 650 748</b>	<b>11 076 778</b>	<b>11 303 735</b>

## ANNEX M

### SWOT ANALYSIS

ISS CONTROLLABLE FACTORS	ISS UNCONTROLLABLE FACTORS
<p style="text-align: center;"><b>STRENGTHS</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> High-quality outputs and activities</li> <li><input type="checkbox"/> Well-respected research outputs</li> <li><input type="checkbox"/> Frequency of publications</li> <li><input type="checkbox"/> Broad spectrum of research areas</li> <li><input type="checkbox"/> Good track record</li> <li><input type="checkbox"/> Strong key networks</li> <li><input type="checkbox"/> Results-based capacity-building</li> <li><input type="checkbox"/> Ability to influence policy makers</li> <li><input type="checkbox"/> Organisational profile</li> <li><input type="checkbox"/> Perception as non-partisan</li> <li><input type="checkbox"/> Open research environment</li> <li><input type="checkbox"/> Unique thematic areas of focus</li> <li><input type="checkbox"/> Perception as regional organisation</li> <li><input type="checkbox"/> African knowledge base</li> <li><input type="checkbox"/> Not an advocacy organisation</li> <li><input type="checkbox"/> Policy research seeks impact</li> <li><input type="checkbox"/> Limited internal bureaucracy allows focus on deliverables</li> <li><input type="checkbox"/> Staff turnover supports good networks</li> <li><input type="checkbox"/> Digital communication channels</li> <li><input type="checkbox"/> Credible leadership (Jakkie)</li> <li><input type="checkbox"/> Longevity and growth</li> <li><input type="checkbox"/> Positive work environment</li> <li><input type="checkbox"/> Mix of African nationalities</li> <li><input type="checkbox"/> Background of key staff members from ISS stakeholders (AU, Govt service etc.)</li> <li><input type="checkbox"/> Knowledge systems and IT</li> <li><input type="checkbox"/> Current relationships with donors</li> </ul>	<p style="text-align: center;"><b>OPPORTUNITIES</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The pan-African nature of the ISS</li> <li><input type="checkbox"/> Geographic location to key stakeholders</li> <li><input type="checkbox"/> Dakar office access to Francophone countries</li> <li><input type="checkbox"/> Diversification of ISS</li> <li><input type="checkbox"/> ISS name recognition</li> <li><input type="checkbox"/> Business interest in Africa</li> <li><input type="checkbox"/> Global think tank interest in Africa</li> <li><input type="checkbox"/> Non-researched areas</li> <li><input type="checkbox"/> Cellular and internet connectivity expansion in Africa</li> <li><input type="checkbox"/> Media freedom in Africa</li> <li><input type="checkbox"/> Democratisation in Africa</li> <li><input type="checkbox"/> ISS Advisory Council influence outside the ISS</li> <li><input type="checkbox"/> Attracting the right policy people will give the ISS more depth and profile</li> <li><input type="checkbox"/> Economic climate has reduced institutional competition</li> </ul>

WEAKNESSES	THREATS
<ul style="list-style-type: none"> <li><input type="checkbox"/> Silo mentality of staff</li> <li><input type="checkbox"/> High staff turnover</li> <li><input type="checkbox"/> Top-down management</li> <li><input type="checkbox"/> Diversification of funding</li> <li><input type="checkbox"/> Compliance</li> <li><input type="checkbox"/> Inconsistent quality of outputs</li> <li><input type="checkbox"/> Inconsistent partnership management (MOUs - AU/RECS/governments)</li> <li><input type="checkbox"/> Internal communications</li> <li><input type="checkbox"/> Not content driven</li> <li><input type="checkbox"/> Not results driven</li> <li><input type="checkbox"/> Not nimble</li> <li><input type="checkbox"/> Inability to attract staff skilled to manage larger and more complex ISS</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Reducing donor funding base</li> <li><input type="checkbox"/> Donor fatigue</li> <li><input type="checkbox"/> Lack of a competitor in Africa</li> <li><input type="checkbox"/> Perceived donor agenda driven</li> <li><input type="checkbox"/> Demonstration of impact</li> <li><input type="checkbox"/> Perceived as intelligence/security organisation</li> <li><input type="checkbox"/> Staffing competition for senior positions</li> <li><input type="checkbox"/> Legislative changes</li> <li><input type="checkbox"/> Understaffing of embassies in Africa</li> <li><input type="checkbox"/> Political shifts in Africa</li> <li><input type="checkbox"/> Competitor think tanks</li> <li><input type="checkbox"/> Exchange rate fluctuations</li> </ul>