

## Promoting Defence Management and Security Sector Reform in Southern Africa

An Assessment of SADSEM's Achievements,  
Impacts and Future Challenges

Elling N. Tjønneland, Chris Albertyn, Garth le Pere,  
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A study commissioned by the Southern African Defence and Security Management Network through the University of the Witwatersrand

### **Indexing terms**

Southern Africa  
South Africa  
Security  
Sector reform  
Defence management  
SADC

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## Executive Summary

This is a report from an independent evaluation of the Southern African Defence and Security Management Network (SADSEM). It was commissioned by the network through the University of the Witwatersrand and was carried out by the Chr. Michelsen Institute in Norway in cooperation with a team of consultants from Southern Africa.

The objectives of the study were to provide an assessment of the achievements and impact of SADSEM's activities as well as to assess how changing external environmental factors may impact on the strategic approach and priorities of SADSEM. A main purpose was to undertake a study which could assist SADSEM in its strategic planning for a new phase of the programme.

The study was conducted between October 2008 and February 2009. It included data collection and visits to SADSEM partners in 9 SADC countries. Nearly 150 people were interviewed. A tracer study of former course participants was also undertaken with a distribution of a questionnaire to a sample of 290 persons in 10 countries.

## Findings

SADSEM's vision since its establishment in 2000 has been to contribute to the effective democratic management of defence and security functions in Southern Africa, and to strengthen efforts promoting peace and common security in the region. It does this by providing specialised training programmes to personnel of the defence forces and others involved in managing security in the region, and by building scholarly capacity through educational programmes and research. The network comprises 10 tertiary partner institutions in 10 SADC countries and is coordinated by the Centre for Defence and Security Management (CDSM) at Wits. The programme is implemented in all 15 SADC countries. SADSEM has a Memorandum of Agreement with the SADC Organ's Directorate on Politics, Defence and Security Cooperation, and a Memorandum of Understanding with the SADC Parliamentary Forum.

The team concludes that SADSEM is a pioneering and innovative initiative that is promoting and enabling democratic management of the security sector in Southern Africa. Its activities and outputs are impressive. SADSEM operates within a diverse and complex regional milieu. The team is not aware of any other active networks in the region that have managed as successfully to embrace the challenges of functioning across diverse political, institutional, cultural, language and geographical contexts. The gradual establishment of SADSEM over the past ten years is testimony to individual leaders seizing an historical window of opportunity, and being astute and careful in nurturing interpersonal, organisational and political possibilities.

The positive impact created through the network's leadership has emerged from their intimate knowledge of, and sensitivity to, needs, practises and nuances within the security sector in each member country, and in the region as a whole. There is a strong indication that it is these relationships of trust that have enabled the high-level in-country endorsement of the training courses run by SADSEM partners.

SADSEM's main achievements in its training programmes are its success in building in-country capacity to deliver training courses, and in its pioneering efforts to open space for debates on national and regional security policies by bringing security institutions together, and by bringing security institutions together with civilians. More than 3500 people have benefitted directly from specialised courses offered by SADSEM. Furthermore, the launch of diploma and masters courses in security studies and security sector governance in several SADC countries will produce a steady stream of postgraduate students and security-literate officials in the years to come.

## Challenges

SADSEM is also at a critical juncture and faces numerous challenges. The demand for its services from security stakeholders in the region is expanding and pulls the network in different directions; its human resources are stretched to its limits; it experiences changes in leadership; and it remains critically dependent on external funding for its core network activities. The capacity of individual SADSEM partners to respond to these challenges is also very uneven.

The most acute challenge is uncertainties of future funding. Danida has provided core funding since the inception of the programme but this is now coming to an end. The UK through its Conflict Prevention Pool has provided additional core funding in recent years, but future financial support is uncertain. If new core network funding is not sourced within the next three to six months, SADSEM will lose opportunities and essential functionality and communities of practice that may be difficult to revive at a later stage. This is partly a result of SADSEM's own failure to promote itself. While SADSEM's own successes have promoted the network amongst its immediate stakeholders, SADSEM has not had the resources and/or not made it a priority to promote itself more broadly amongst potentially important stakeholders. This limited self-promotion has probably resulted in lost fund-raising opportunities.

## Recommendations

SADSEM is facing a period of change and uncertainty with respect to finances and leadership. While such change does pose a threat, the team is convinced that – with a combined effort from network coordinators - both the finances and necessary leadership can be mobilised to carry the network forward. It is an opportune moment for all SADSEM coordinators to re-think how network structures and operations might be adjusted to enable operations under new conditions. The team presents a number of recommendations that may be helpful to SADSEM in its strategic review and planning for the future

The team's main recommendations are:

- Network coordinators in each country could strengthen the case for mobilising donor funding by obtaining letters of support for SADSEM from as high up in their government hierarchies as possible;
- Once-off funds are raised to enable network coordinators to meet for at least two to three days for strategic planning and a review of network operations – external professional facilitation for such a workshop would be valuable. Some issues and considerations for the workshop could include:
  - Fundraising strategy;
  - Identifying needs for changes and revision to its programmes and operations in order to maintain focus and adapt to changing environments;
  - Identifying key revisions and additions necessary to the Standard Operating Procedures so that they ensure equitable and accountable internal operations, and also meet minimum future donor requirements;
  - The role, function and operations of the Advisory Board;
  - Improving cost-effectiveness of Steering Committee meetings, especially with a view to spending more time on knowledge sharing and strategic matters and less time on operational issues;
    - The establishment of sub-committees to assist in network management and to make recommendations to the steering committee: i) fundraising and finances; ii) research; iii) communications and training
- Assuming funds become available: exploring the desirability of employing a network 'general manager' whose responsibilities include fundraising and donor liaison, coordination of network reporting and communications – including website and newsletter production and distribution, and

targeted information sharing and promotion with Board members and other important stakeholders (including SADC, Embassies and donors);

- SADSEM needs to develop a communications and liaison strategy aimed at donor agencies in South Africa and other SADC Countries;
- All parties will benefit if SADSEM is able to maintain its database of contacts of course participants, and if SADSEM follows up by distributing regular newsletters;
- More attention should be devoted to how SADSEM could provide more direct assistance to SADC and its institutions following the recently signed MoA with the SADC Organ directorate. This will include delivery of training courses, policy research and dissemination of research findings; and
- Greater effort should be devoted to developing guidelines on how each partner could assist with contributing to SADSEM's research output.

## Acronyms and Abbreviations

ACCORD	African Centre for the Constructive Resolution of Disputes
ANC	African National Congress
ASSN	African Security Sector Network
AU	African Union
BDF	Botswana Defence Force
BIDPA	Botswana Institute for Development Policy Analysis
CEA	Centro de Estudos Africanos
CEEA	Centro de Estudos Estrategicos de Angola
CCR	Centre for Conflict Resolution
CDS	Centre for Defence Studies
CDSM	Centre for Defence and Security Management, P&DM
CFR	Centre for Foreign Relations
CMI	Chr. Michelsen Institute
CSS	Centre for Strategic Studies (Botswana)
CSS	Centre for Strategic Studies (Malawi)
CSSM	Centre for Security Sector Management, Cranfield University
CU	Chaire UNESCO – The UNESCO Chair in Peace, Security and Good Governance, University of Kinshasa
DANIDA	Danish International Development Assistance
DFID	UK Department for International Development
DKK	Danish kroner
DRC	Democratic Republic of Congo
EU	European Union
FOPRISA	Formative Process Research on Integration in Southern Africa
GFN-SSR	Global Facilitation Network for Security Sector Reform
HQ	Headquarters
IDASA	Institute for Democracy in South Africa
IDRC	International Development Research Centre
IGD	Institute for Global Dialogue
ISDSC	Inter-State Defence and Security Committee
ISS	Institute for Security Studies
MoA	Memorandum of Agreement
MoD	Ministry of Defence
MoU	Memorandum of Understanding
NGO	Non-governmental Organisation
P&DM	Graduate School of Public and Development Management, University of the Witwatersrand
R	Rand
RPTC	SADC Regional Peacekeeping Training Centre
SADC	Southern Africa Development Community
SADCC	Southern Africa Development Coordination Conference
SADC OPDSC	SADC Organ on Politics, Defence and Security Co-operation
SADC PF	SADC Parliamentary Forum
SADSEM	Southern African Defence and Security Management Network
SAIIA	South African Institute of International Affairs
SANDF	South African National Defence Force
SARDC	Southern African Research and Documentation Centre
SARPCCO	Southern Africa Regional Police Chiefs Co-ordinating Organisation
SC	Steering Committee
SIPO	Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation
SOP	Standard Operating Procedures

ToR	Terms of Reference
UB	University of Botswana
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UZ	University of Zimbabwe
Wits	University of the Witwatersrand
ZAR	South African Rand

## Preface

The Southern African Defence and Security Management Network (SADSEM) was launched in 2000 as an innovative attempt to enhance democratic governance and the effectiveness of defence and security functions in Southern Africa. This network - with partners in 10 SADC countries and activities in all 15 - has made major efforts to advance and support improved security sector governance in the region. This study seeks to assess the achievements, impacts and future options for this network.

This study was commissioned by the Network and the SADSEM Secretariat at the Centre for Defence and Security Management (CDSM) through the University of the Witwatersrand. After a tendering process the contract to carry it out was awarded to the Chr. Michelsen Institute in Norway in co-operation with a team of consultants from Southern Africa. The team was led by Elling N. Tjønneland, senior researcher at CMI and comprised consultant Chris Albertyn (Chris Albertyn and Associates CC) and executive director Garth le Pere (Institute for Global Dialogue). Kari Heggstad (Botswana Institute for Development Policy Analysis) and Brendan Vickers (Institute for Global Dialogue) were commissioned specifically to assist with the tracer study component and the assessment of the training programmes.

The team has benefited from the support and assistance of a number of people. This includes in particular the CDSM and its staff: Gavin Cawthra, Anthoni van Nieuwkerk, Shirley Magano, Martha Robinson and Tasmeen Khobokoane. Above all, the team would like to take this opportunity to gratefully acknowledge and thank the SADSEM partners throughout the region and the numerous individuals interviewed. They gave graciously of their valuable time to facilitate the team's country visits and to provide information, analysis, interpretations and explanations. The views of all of these stakeholders were crucial in helping the team to formulate its assessments and recommendations.

A draft report was submitted to CDSM/SADSEM on 13 February. The team received written comments from the CDSM. The final report was submitted in March.

The team has attempted to address all the issues in the Terms of Reference and in comments received. Needless to say, the flaws and omissions are entirely ours. The team is also responsible for the views and recommendations expressed in this report.

The published report is – apart from minor technical editing – identical with the final report submitted in March.

*June 2009*

# 1 Introduction

SADSEM and the Centre for Defence and Security Management (CDSM) have – through the University of the Witwatersrand – commissioned a major study with several interlinked objectives. Cf. the ToR attached as annex 1. The study shall provide

1. an assessment of the impact of the SADSEM programme since its launch in 2000;
2. a tracer study of former course participants;
3. empower SADSEM partners in research and evaluation methodology through participation in the assessment; and
4. a forward-looking evaluation

This chapter provides the team's interpretation of these objectives. It outlines the approach and methodology, the implementation of the assignment and presents the structure of this report.

## Purpose and Nature

The invitation to tender for this assignment was distributed in mid-2008. The idea for such a study has however, a long history. The suggestion for a tracer study was first mentioned in an appraisal in 2002. A Danida mid-term review from May 2006 recommended that the idea of “a comprehensive tracer study be dropped and consideration given to whether an exercise similar to the one the review team conducted in South Africa, Mozambique, Zambia and Tanzania be undertaken in the participating countries not covered by the review.”<sup>1</sup>

The subsequent and current project document with Danida – the main financial donor – reiterates the need for a tracer study: “a tracer study will be carried out by an external evaluator in the second year [2008]. This will evaluate the impact not only of this project but of the previous project (this is a five year period).” However, it is also emphasised that the tracer study shall “assess (SADSEM's) impact in the region and develop strategies for future activities.”<sup>2</sup>

The assessment team convened in Johannesburg in October 2008 for discussion with CDSM and to plan the implementation. The team and CDSM also concluded that some shifts and adjustments had to be made in the original ToR. Stronger emphasis should be placed in making this an internal evaluation and strategic review which more clearly could assist SADSEM in preparing for a new phase. This was reinforced by the fact that the current funding from the donors was coming to an end in early 2009 and that few steps had been made to prepare for the future. The founding pioneer, guiding light and inspirational force behind the programme since its inception, Professor Gavin Cawthra, also indicated his desires to step down from his position as Director of CDSM and Network coordinator (he subsequently did so in early 2009).

In the inception report from the team it was concluded that the assessment should serve two broad purposes (the inception report is attached as annex 2):

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<sup>1</sup> From p. 13 in *Aide Memoire. Review Mission for Southern African Defence and Security Management Network (SADSEM) 23 April to 5 May 2006*, unpublished (Danida 2006).

<sup>2</sup> The quotes are from p. 35 and p. 18 in *Southern African Defence and Security Management (SADSEM) Network and Centre for Defence and Security Management (University of the Witwatersrand) Project Proposal for the period 1 April 2007 – 31 December 2009* Johannesburg: Graduate School of Public and Development Management November 2006 (unpublished).

1. *An assessment of the achievements and impact of SADSEM's activities; and*
2. *Assessing how changing external environmental factors may impact on the strategic approach and priorities of SADSEM*

Based on these purposes seven specific objectives for the evaluation were identified:

- 1: The impact of the programme on course participants: Has it enhanced their understanding, professionalism and benefitted their careers?
- 2: The impact of the programme on the normative and policy frameworks for defence and security within SADC countries and the SADC region: has it contributed to evolving policy debates?
- 3: The impact on the institutions where course participants work: has it contributed to improvement in the performance of the institutions?
- 4: The impact on scholarly achievement: has the educational programmes, scholarships and research activities contributed to build scholarly capacity in the region?
- 5: The impact of the network on partner institutions: has the network been effective and efficient in providing support to its members?
- 6: The impact of external funding environment: what are the current plans and funding priorities for key donors providing support to peace and security in the SADC region?
- 7: The way forward: How may SADSEM evolve to enhance its relevance and impact and ensure sustainability? Are ambitions sufficiently matched with resources? Are the chosen focus areas the most important? Are the partner institutions sufficiently aligned in terms of what they think the strategic priorities for the network should be?

The scope of the tracer study was reduced. The objective of strengthening and empowering SADSEM partners through participation in the assessment was also made less ambitious.

## Methodology and Implementation

The inception report noted the major difficulties involved in measuring impact of a programme like this. There are no internal reference points and baselines from which to make relative assessments. The issues of influence and impact are also multi-casual and difficult to assess. Still, some assessments of achievements and impacts was considered possible through the outputs of the programme, a questionnaire survey (the tracer study), and a series of interviews with stakeholders in the security sector.

The team prepared a questionnaire, an interview guide, format and guidelines for focus group interviews as well as a format and guidelines for mini-reports and self-assessments by SADSEM partners. It was also proposed, in line with the original ToR, that a workshop be convened in Johannesburg in early November with participation from all SADSEM partners to prepare for the assessment and help ensure that the required data was collected and analysed by partners.

The team proposed that the questionnaire be distributed to a sample of course participants – to all 290 certificate course participants from the 10 SADC countries which had a SADSEM partner.

The inception report was submitted to CDSM. The team also presented the report at a meeting of the SADSEM steering committee in Maputo in late October. The inception report was approved with minor changes. It was, however, decided at the meeting of the steering committee to cancel the proposed workshop with SADSEM partners. Instead the team made an extended presentation at a separate session of the steering committee with an emphasis on the role and obligations of the SADSEM partners in the assessment.

The revised questionnaire was translated into French and Portuguese. The English version of the questionnaire is attached as annex 3. The questionnaire and the various guidelines listed above were distributed to all SADSEM partners.

The intention was that the team should visit all ten SADC countries with SADSEM partners. It was subsequently decided – and after consultations with the partner in Angola and with CDSM – to drop the visit to Angola. The partner there was new and limited SADSEM activities had been undertaken. The partner was however, still expected to distribute the questionnaire and compile a mini-report and self-assessment.

In late November and the first half of December, South Africa, Botswana, Mozambique, Namibia and DR Congo were visited. All team members took part in the interviews in South Africa while it split to be able to cover the other countries. Elling Tjønneland visited Namibia, Chris Albertyn did DRC and Garth le Pere went to Mozambique while Brendan Vickers covered Botswana. The remaining four countries were visited in late January and early February. Chris Albertyn went to Malawi and Zambia, Garth le Pere did Tanzania and Elling Tjønneland visited Zimbabwe.

After completion of country visits the team met with CDSM for debriefing and discussion of emerging findings.

There were great variations in the extent of preparation by the SADSEM partners. In a few countries very little had been done ahead of the team's arrival. In others an extensive programme had been prepared. A couple of partners had also carried out several interviews and focus group sessions ahead of the arrival and provided the team with interview notes and summary of discussions. Despite unevenness in preparations the team succeeded in having a series of interviews with key individuals in all countries visited. Nearly 150 people in 9 countries were interviewed, many of them in focus group sessions. A list of all persons interviewed is provided in annex 4. Over 80 questionnaires were returned.

No questionnaires or mini-report were received from Angola. Several partners failed to submit their mini-reports and restricted themselves to supply the information in interviews with the team.

## Structure of the Report

Chapter 2 provides an overview of SADSEM's objectives, origins and evolution. An overview of the main activities together with a profile of each SADSEM partner is also provided together with an outline of its organisational structure, management and financial arrangements.

Chapter 3 presents the main findings from the questionnaire survey. Included is also a statistical presentation of the participants in the training courses.

Chapter 4 assesses the achievements and impacts of SADSEM's training programmes while Chapter 5 looks at the scholarly achievements and SADSEM's educational programmes and research output.

Chapter 6 assesses SADSEM's organisational capacity, management structures and operational procedures.

Chapter 7 examines changes in the external environment, especially related to the regional demand for SADSEM's programmes and changing priorities of external donor agencies. The implications of the changes for SADSEM are identified.

Chapter 8 contains the team's concluding assessments of SADSEM's achievements and performance and presents recommendations for the future.

The team also compiled a list of all publications from SADSEM partners and staff. The list is attached as annex 5.

## 2 SADSEM – an Overview<sup>3</sup>

SADSEM's vision is to contribute to the effective democratic management of defence and security functions in Southern Africa, and to strengthen peace and common security in the region.

### Origins

It originated in the early 1990s with the ANC-aligned Military Research Group, a network of activists and scholars that was established to help the ANC in formulating and managing a defence policy for the new South Africa. In 1994 the Graduate School of Public and Development Management (P&DM) at the University of the Witwatersrand invited the head of the group to establish a defence management programme at the School. The programme was intended to assist the new government with the normalisation of civil-military relations and to develop the role of defence in the new democracy. It is widely believed that the programme through its training courses played an important role in the transformation and in enhancing the management skills of senior military officers and defence officials.

In 1999 it was decided to upgrade the programme to a fully-fledged Centre for Defence and Security Management Programme, the establishment of a Chair in Defence and Management Studies and to launch a regional network of tertiary programmes and centres for defence management. The SADSEM network quickly comprised six partners in addition to South Africa (Botswana, Namibia, Mozambique, Tanzania, Zambia and Zimbabwe). Gradually it expanded to include also Angola, DR Congo and Malawi and with Lesotho and Swaziland becoming associate members. SADSEM activities also include the three remaining SADC countries; Mauritius, Madagascar and the Seychelles. The goal is to have partners at tertiary institutions in all SADC countries.

Denmark through the Danish Embassy in Pretoria has been the main funder of the programme and its activities since its origins. Other donor agencies have provided additional project funding in recent years

### Activities

SADSEM seeks to achieve its vision by

- providing training and education for defence and security management and planning, civil-military relations, peace-building, and the management of peace missions; and by
- building scholarly capacity and developing a regional network of institutions to provide education, training, policy, and technical support and research output in these areas.

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<sup>3</sup> This chapter is largely based on information from official presentation of SADSEM (such as their website [www.sadsem.net](http://www.sadsem.net)), project documents and the outline of SADSEM provided in appendix 2 (pp. 254-61) in G. Cawthra et al. (eds.), *Security and Democracy in Southern Africa*, Johannesburg: Wits University Press 2007. Additional and updated information was collected through country visits and interviews with SADSEM officials.

## Training

The bulk of the activities are linked to the training programmes. SADSEM provides two types of training courses. The first is executive courses of typically 3-5 day duration although senior executive courses are also held which may last for up to two weeks. Most executive courses are national. The other training course is the regional certificate course, SADSEM's flagship programme. This typically lasts for three weeks and is held in Johannesburg with participants from all SADC countries. Participants enrolled at the certificate course are assessed individually and is awarded a certificate of competence by the University of Witwatersrand. Participants at executive courses are not assessed and are only awarded a certificate of attendance – also by the Witwatersrand University. Recently some universities in the region have begun to accredit in-country executive courses.

SADSEM offers six different executive courses and three different certificate courses in four subject areas:

1. Defence and security management;
2. parliamentary oversight of the security sector;
3. security sector governance; and
4. management of multinational peace missions.

Modules and course content are approved by the University of the Witwatersrand, but this allows for country-specific design and selection of modules based on demands and needs.

Nearly 60 executive courses with over 1900 participants and 7 certificate courses with nearly 200 participants have been held in **defence and security management** since 2000. This includes 13 executive courses specifically focused on civil-military relations. They target senior military and police officers, government officials, parliamentarians, and civil society leaders involved in defence and security governance, management and planning. A range of modules are offered from which courses can be designed according to national contexts and needs. Executive courses have been held in all 15 SADC countries except Angola. Executive courses are generally not held anymore in South Africa unless they are requested official agencies (such as the Department of Defence, the SANDF or the Parliament's portfolio committee on defence).

2 **senior executive courses** have been held in South Africa and Mozambique in 2007 and 2008 based on request from the defence ministries/defence forces in these two countries. They run for two weeks and participants have been brigadiers and above selected by the governments (and not based on individual applications/nominations).

In **management of multinational peace missions** there have been 18 executive courses in 7 SADC countries with nearly 700 participants and 2 certificate courses with over 60 participants. They are aimed at senior officials and NGOs involved in or potentially involved in multinational conflict resolution and peace missions in SADC member states.

In **parliamentary oversight** of defence and security there have been 12 executive courses in 6 countries with over 350 participants. These courses are specifically designed for parliamentarians as well as senior security sector officials interacting with parliament. They are organised in collaboration with the Parliament or Parliamentary committees.

Since 2005 SADSEM has also organised 6 executive courses in **security sector governance** in four countries with nearly 200 participants. The courses held in South Africa were a regional course with participants from most SADC countries (and facilitated by a new grant from the UK Conflict

Prevention Pool). They target a broader spectre of security agencies and aims at improving the understanding of the security sector as a whole. An important element is to inculcate an understanding of the notion of human security, a wider paradigm than the customary defence-focused approach.

SADSEM has organised 9 **regional certificate courses** (all in Johannesburg) since 2000 with a total of about 370 participants from all 15 SADC countries. There has been 6 courses in defence and security management (2000, 2001, 2003, 2005, 2006 and 2008); 2 courses in management of multinational peace missions (2002 and 2004); and 1 in security sector governance (2007).

## Education

Postgraduate educational programmes are an expanding component of SADSEM's activities with several partners now delivering postgraduate diplomas and master programmes. There is also growing demand from military training institutions and other security agencies for teaching assistance from SADSEM partners.

Originally SADSEM's vision was to establish a joint regional master programme in defence and security sector management, but this has proven too demanding and difficult to accredit. Instead various partners, but often in close collaboration with each other, have opted to develop separate educational programmes. At the University of the Witwatersrand the CDSM is now offering both a postgraduate diploma and a Master in Management in the field of Security. The programme began in 2007 with the first intake of 50 students of which (20) have progressed (in 2008) to do the masters programme. The second intake of students is taking place in early 2009. More than 120 applications have been received. Most students are officials in security agencies and other government departments in South Africa.

In Namibia the partner has launched a Master programme in security and strategic studies at the University of Namibia. The first intake of 20 students took place in 2007 and the second intake is taking place in early 2009. Nearly all students are officials from the Ministry of Defence.

In the DRC the partner at Kinshasa University has since 2002 delivered a masters degree in good governance, defence and security. 107 master degrees have been awarded. In Botswana, the Defence Command and Staff College is delivering a diploma on military and strategic studies with support by the SADSEM partner. Currently there are 36 participants at this course. The university hopes to launch a masters programme in strategic studies within the next two years. The partner also delivers modules in security studies and civil-military relations at the undergraduate level.

In Tanzania security studies are incorporated into diplomas in international relations and diplomacy and postgraduate diplomas in management of foreign relations and economic diplomacy delivered by the SADSEM partner.

In Zimbabwe the University of Zimbabwe and the Department of History's War and Strategic Studies Unit – which houses the SADSEM partner – is delivering both a diploma, a bachelor's degree, a master's degree and a doctorate in war and strategic studies. Over the years more than 200 students have obtained one of these degrees. The goal of the SADSEM partner is to develop a postgraduate diploma in security studies and later a masters programme similar to the programmes offered in Namibia and South Africa. The current situation in Zimbabwe has slowed down these efforts.

The partner at Mzuzu University in Malawi has developed a four-year programme targeting staff in the security sector. The first intake of 30 students took place in 2007 with 27 completing the first

year and was awarded a certificate in security studies. After completing a second year they may be awarded a diploma in security studies. In Mozambique the partner is hoping to launch a masters degree in contemporary history with a security component. In Zambia there are discussions between the University of Zambia and the Ministry of Defence to develop higher-degree studies in security, including provision of training modules at the staff college.

In addition there are also a number of Ph.D. candidates supported and/or supervised by SADSEM, including several employed by SADSEM partners or affiliated to them. Most are registered at the University of the Witwatersrand, but some also at other universities in South Africa and the region. Several Ph.D. have been completed in recent years (see the publications list in annex 5 for details).

## Research and Policy Development

Building scholarly capacity to do applied research is implemented through several activities (in addition to educational programme discussed above). SADSEM has a small fund to provide master and Ph.D. scholarships. The steering committee has appointed a scholarship committee (comprising the professors on the steering committee) which decides on allocations. A total of 16 Master and 8 Ph.D. students have received scholarships. The scholarship holders come from 8 different countries (none from South Africa). There is also a small internship programme whereby researchers from partners can spend a short time (typically 3-10 days) at CDSM. 24 internships have been awarded since the programme was launched in 2003. Allocations are made by CDSM based on applications from partners.

SADSEM has also initiated two major joint research projects where most partners participate and have responsibilities for subprojects. The first was a project on security and democracy which culminated with the publication of a major anthology by the Wits University Press in 2007. The other main project is an ongoing research project (FOPRISA) designed to assist the SADC Secretariat and managed by the Botswana Institute for Development Policy Analysis (BIDPA). Several articles have been published since 2007.

The SADSEM network also initiated an academic peer reviewed journal (*Journal of Peace, Conflict and Military Studies*) which came out with three issues before it ceased publication (it was published by the Centre for Defence Studies in Zimbabwe).

The research outputs are listed in annex 5. The bulk of the outputs have emerged from CDSM, but publications have also emerged from staff at the other partner institutions. Direct inputs into policy debates are also taking place, but generally at the level of individual partners. This has included not just research of high relevance but also direct inputs into policy developments such as defence reviews, white papers and policy papers on defence and peacekeeping issues.

Over the years SADSEM and its partners have established strong relations with security institutions, especially defence, in nearly all SADC countries. At the regional level it has a MoU with the SADC Parliamentary Forum, and a MoA with the SADC Secretariat's Directorate on Politics, Defence and Security Cooperation.

## Other Activities

SADSEM maintains a website in English, French and Portuguese and issues a newsletter (in English only).

SADSEM is a member or affiliate of various international networks and has collaboration with several research institutions. This includes the African Security Sector Network (ASSN) (SADSEM

co-ordinates the Southern African chapter) and close links with UK's Global Facilitation Network for Security Sector Reform (GFN-SSR) in Birmingham and the Centre for Security Sector Management (CSSM) at Cranfield University and the Danish Institute for International Affairs.

## Profile of Partners

There are currently 10 partners and 2 associate partners in the SADSEM network. They are active in all 15 SADC countries. All partners receive an equal amount of core funding and a fixed amount for each executive course they organise. The current annual core funding is ZAR 528 000 and the allocation for each executive course is ZAR 150 000. There are, however, great variations between the partners in terms of capacity and level of institutionalisation).

A brief presentation (in alphabetical order) of each partner is provided below.

### Angola

*Centro de Estudos Estrategicos de Angola* (CEEAA) is SADSEM's newest partner. It joined the network in 2007 and has not yet organised any executive course. Angola has however, for many years send participants to the annual certificate course in Johannesburg. CEEAA is a registered NGO, established in 2001 and has a focus on southern and central Africa working on peace and security issues as well as on issues related to social development and human rights. It has close relations with the Angolan government, including and especially in the defence and security sector. CEEAA was also centrally involved in helping organising the 2007 election in the country.

10 people from Angola have attended the certificate courses in South Africa.

### Botswana

The *Centre for Strategic Studies* (CSS) was established in 2001 as SADSEM's partner in Botswana. It is housed at the Department of Political and Administrative Studies at the University of Botswana. The Department has a long track record in dealing with security and related issues. CSS has delivered several executive courses (it seeks to organise at least three a year) and is also responsible for organising executive courses in Swaziland in co-operation with SADSEM's associate partner there. CSS has a staff of three: a Director (part-time), a junior researcher and an administrative secretary. In addition the Centre benefits from the participation of the former Commander for the Botswana Defence Force which joined the Department in 2008.

In addition to the SADSEM courses and teaching at the University CSS also supports a diploma course at the Defence Command and Staff College. The contract to deliver courses at the Defence College is worth about R 1.5 million. CSS has also provided training to the Independent Electoral Commission, the Bank of Botswana and the Botswana Police Service/Police College. In 2007 CSS also helped establish a Centre for Peace Culture at the University with the support of UNESCO.

Botswana has hosted 8 executive courses (2 in defence and security management, 3 in peace missions, 2 in parliamentary oversight, and 1 in civil-military relations) with 293 participants. 24 persons have attended the certificate courses in Johannesburg.

### DR Congo

*Chaire UNESCO* – The UNESCO Chair in Peace, Security and Good Governance – was set up at the University of Kinshasa in November 2000 as a UNESCO initiative to improve the participation

of Congolese academics and policy makers in peace processes in SADC and Central Africa. It also has a sub centre at the University of Bukavu in Eastern DRC. Chaire UNESCO has a staff of 12. Student fees remain their sole source of income in addition to the SADSEM funding. Chaire UNESCO has worked with SADSEM since 2001. SADSEM is a project within Chaire UNESCO and has staff of two: a part-time director and one junior researcher.

In addition to SADSEM activities and training courses Chaire UNESCO also runs – as its main activity - a masters programme. 107 master students have graduated since the programme started in 2001. 2 Ph. D. candidates submitted their dissertations in January 2009, It seeks to extend its training and education programmes to other French-speaking countries in Central Africa. All teaching is delivered by Congolese lecturers.

The Chaire UNESCO has also published several monographs on a range of human security and security governance issues.

DRC has hosted 12 executive courses (2 in defence and security management, 4 in peace missions, 2 in parliamentary oversight and 4 in civil-military relations) with over 600 participants. 27 persons have attended the certificate courses.

## Malawi

The partner in Malawi, the *Centre for Security Studies* at Mzuzu University was established in 2005 at the request of the Malawi Defence Force and with assistance and help from SADSEM. Its primary purpose was to act as a training and education centre for the security sector in the country. SADSEM has run executive courses in the country since 2001.

The position as Director of the Centre has remained vacant for some time with search for a suitable candidate so far unsuccessful. The Centre is now managed by a co-ordinator in a part-time position. One staff is dedicated to teaching. The Centre also has a full-time Secretary, a research assistant and part-time administrative support from the University. The SADSEM project provides funding for the co-ordinator and the teaching staff. The Centre also has links with British Institutions (The Military College of Science in Cranfield and the Defence Academy) and has some project support from DFID.

It is working closely with the Defence Force, but has also been doing work for the President's Office, the police and the prison service.

7 executive courses have been held in Malawi (3 in defence and security management, 2 in parliamentary oversight, 1 in civil-military relations, and 1 in security sector governance) with a total of 206 participants. 26 people have attended the certificate courses.

## Mozambique

The SADSEM partner, the Defence and Security Management Project, was established in 2000 and is housed at the *Centre for African Studies* at the Eduardo Mondlane University. It has a staff of three: a part-time director, a researcher and an executive assistant. It has worked very closely with the Ministry of Defence. The country's current Chief of Defence, is a former project director (and has also worked at CDSM at Wits).

It has developed a new course in public safety and a curriculum for a new master of arts in history with a strong focus on regional security issues. Current research focuses on HIV/Aids in the military, public safety, security in the Indian Ocean and gender.

Mozambique has hosted 8 courses (4 in defence and security management, 1 in peace missions, and 2 in civil-military relations) with a total of 174 participants. 31 persons have attended the certificate courses.

## Namibia

The Defence and Security Management Project was set up as a SADSEM partner in 2000 and it has delivered executive courses since 2001. It is a project with the *Department of Political and Administrative Studies* at the University of Namibia. It has a part-time project director and one researcher (on secondment from the Ministry of Defence) It has very close relations with the Ministry of Defence but has also in recent years worked with Parliament through the executive courses on parliamentary oversight.

In 2007 it launched a master programme in strategic studies and security with a first intake of 20 students. The partner has also taken part in research projects, but most scholarly contributions from Namibia have focused on democratisation and governance issues.

Namibia has hosted a total of 13 executive courses (6 in defence and security management; 2 in management of peace missions, 2 in civil-military relations and 3 in parliamentary oversight) with over 300 participants. 32 people have attended the certificate courses in Johannesburg.

## South Africa

The *Centre for Defence and Security Management (CDSM)* co-ordinates the SADSEM network and it provides management and administrative support to the network and its partners. CDSM also hosts the Chair of Defence and Security Management at the University of the Witwatersrand. The Chair was established through a grant from Denmark. The Chair is also the Director of the Centre and the Network Coordinator. He has been crucial in conceptualisation and the development of the whole SADSEM programme. He is now stepping down from his position as Director and Network co-ordinator. The Centre currently has an additional professional staff of two and an administrative support staff of three, including the Centre Manager. Financial accounting and auditing, as well as administrative support related to the extensive teaching programme, is provided by the University.

The Centre has a strong research and publication record in addition to teaching and delivering of the annual regional certificate course, other regional executive courses and demand-driven national executive courses for parliament and the Department of Defence. The Centre has provided substantial teaching support to other partners (but decreasingly so with the expansion of national capacities in other countries) and is responsible for facilitating executive courses in SADC countries with no SADSEM partner (except Swaziland where the partner in Botswana is responsible).

In 2009 CDSM will also launch – with funding from the University – a new (national) training programme in Public Safety and Security.

CDSM has hosted 9 executive courses (2 senior executive courses in defence and security management, 2 in peace missions, 2 in parliamentary oversight, and 3 regional courses in security sector governance) with 243 participants. 44 South Africans have attended the certificate courses.

## Tanzania

The *Centre for Foreign Relations* (CFR) is the partner in Tanzania. CFR was established in 1978 by the governments of Tanzania and Mozambique to provide training and research in international relations and diplomacy. It is still nominally owned by both countries, although it mainly services Tanzania. It provides an extensive training programme to Tanzania's foreign affairs officials, but also provides courses to the general public. It has strong links to key ministries in the security sector.

The CFR director is also directing the SADSEM programme. He is assisted by a full-time junior researcher as well as a financial administrator and with teaching assistance provided on part time basis by a retired brigadier general.

CFR offers diplomas in international relations and diplomacy and postgraduate diplomas in the management of foreign relations and economic diplomacy. This includes short courses and orientation and induction programmes for all senior and foreign service officers and for new ambassadors. It has run several SADSEM executive courses and seminars, including seminars specifically tailored for the National Parks security environment and personnel in the President's office.

Tanzania has hosted 7 regular SADSEM courses (4 in defence and security management, 2 in management of peace missions and 1 in civil-military relations) with a total of 163 participants. 33 persons have attended the certificate courses.

## Zambia

The partner in Zambia is located at the *Department of History* at the University of Zambia. It has run executive courses since 2000 in association with CFR in Tanzania. It became a full member of the network at the end of 2003. The project head remains the only person working on the project.

It enjoys full support from the Ministry of Defence. Courses run so far have been targeted at officials in Defence, Home Affairs and Foreign Affairs. The partner also provides academic input to the Command and Staff College and planning.

8 executive courses have been held in Zambia (all in defence and security management) with a total of 262 participants. 29 persons have attended the certificate courses in Johannesburg.

## Zimbabwe

The partner in Zimbabwe is the *Centre for Defence Studies* (CDS). It has been a strong partner which also performed regional tasks for the network, including the publication of its academic journal. The Centre has been badly affected by the deteriorating economic and political situation in the country, but has managed throughout to organise several executive courses per year which participation from a broad spectrum of security agencies and civil society. It has also run courses for parliamentarians on oversight of the security sector.

The Centre is located at the University of Zimbabwe's history department which through its War and Strategic Studies Unit has a long history of providing education and training for the Defence Force. CDS now reports directly to the Vice-Chancellor. With support from UNDP efforts is made to turn teaching here into a more contemporary product dealing with wider security studies, following the model of SADSEM teaching in Namibia and South Africa. The UNDP-funding has been put on hold awaiting the establishment of an inclusive government in the country.

The Centre's Director, on leave from the Ministry of Defence, is also the project director for SADSEM. The junior researcher is on leave pursuing Ph. D. studies in South Africa. Various support staff, including a Secretary, is provided by the University and the Ministry of Defence. In 2008 a Research Board with representatives from different university departments was established to help strengthen the academic profile of the Centre.

CDS has organised 15 executive courses with 540 participants: 7 courses in defence and security management; 3 in management of peace missions; 1 in parliamentary oversight (in 2007); 2 in civil-military relations and 2 in security sector governance (2006 and 2008). 34 people have attended the certificate courses in Johannesburg.

### Associate Partners

The political science departments at the universities in Swaziland and Lesotho are associate members. They do not get any financial support from the programme but are invited to, and attends, meetings of the steering committee. Executive courses in those two countries are organised in co-operation with SADSEM partners in other countries.

## Organisation, Management and Finance

SADSEM was initiated and launched by the University of the Witwatersrand through the Graduate School of Public and Development Management (P&DM). Within the P&DM the Centre for Defence and Security Management (CDSM) was set up in 1999 to manage the programme. Legally, Wits University is responsible for the programme and signs contracts with external donor agencies and signs subcontracts with SADSEM partners as implementing agencies (all contracts are signed with the universities hosting the partner except the cases of Angola and Tanzania where contracts are signed directly with the partner).

### Organisational Structure and Management

SADSEM has three management tiers: the co-ordinating secretariat, the steering committee and the advisory council. CDSM is managing and co-ordinating the programme. This basically implies ensuring that the programme is implemented in accordance with project documents and that funds are dispersed, reports submitted and partners supported. CDSM does not have a dedicated unit working solely on the network management. The Director of CDSM is also the Network Co-ordinator (and holds the Chair in Defence and Security Management at Wits). Currently the Chair is stepping down from his position as CDSM Director and Network Co-ordinator and this will lead to some separation of functions.

The steering committee is composed of the project director of each partner.<sup>4</sup> It is an advisory body which meets three times a year to review progress of the Network partners. This includes advising the Co-ordinator of the Network and the partners on complex and sensitive issues; to consider, advice and comment upon any subject referred to it by partner institutions; and to actively engage in the strategic development of the Network. The steering committee also nominates the scholarship committee. Typically, meetings of the steering committee may be followed by workshops for in depth discussion of particular issues. The steering committee meeting in October 2008, where the assessment team was present, was followed by two workshops: a curriculum workshop to review teaching and teaching material and a research workshop to review research papers.

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<sup>4</sup> See the *Steering Committee Terms of Reference* from 2007.

The advisory board meets once a year. It is composed of a representative from each of SADC's member states, a representative of the SADC Secretariat and the Director of the SADC Regional Peacekeeping Training Centre (RPTC). Representatives from member countries are in most cases from the Ministry of Defence (often the Principal Secretary or the head of training). The SADC representative is the Director of the Directorate on Politics, Defence and Security Co-operation in addition to the RPTC Director. In addition the Board may invite NGO representatives to serve on the Board. Currently, the Director of the Centre for Conflict Resolution at the University of Cape Town sits on the Board. The role of the Board is to assist SADSEM in strategic, policy and management issues and to assist in enhancing the accountability of SADSEM.<sup>5</sup>

SADSEM enables CDSM to maintain a staff of three professionals, a manager and support staff. The programme provides each of the partners in the other countries with an identical amount of core funding (currently ZAR 528 000 per year). The line items provides for a project director/manager (in a 30% position), a lecturer/researcher, project costs (incl. administration) and an overhead calculated at 20%. In addition partners are, based on requests, provided with funds for the running of up to three executive years per year (at a fixed rate of – currently - ZAR 150 000 per course).

The executive and certificate courses are accredited by the University of the Witwatersrand and the curriculum and modules are subject to approval by the University and guided by its quality assurance mechanisms.

The activities to be undertaken and the immediate objectives to be met are outlined in the project documents with the donor agencies. In addition CDSM has developed a manual, a *Standard Operating Procedures* document, which seeks to enhance the operational effectiveness of SADSEM through outlining administrative procedures needed for co-ordinated implementation of SADSEM programmes and projects. This includes guidelines for communication; financial procedures; executive courses; network meetings; and scholarships and interns.<sup>6</sup>

## Finance

The bulk of SADSEM's funding is coming from external sources. Core funding since the inception of the programme has been provided by Denmark/Danida. The current project phase with Danida, covering the period 1<sup>st</sup> January 2007-31<sup>st</sup> March 2009, provides for DKK 18 million and covers most salaries and project expenses linked to the management and holding of courses as well as co-operation with the Danish Institute of International Affairs. Current Danish funding comes to an end with the expiry of this phase. Future Danish support is uncertain and will depend *inter alia* on how the support can be linked to Danish support to SADC's peace and security agenda.<sup>7</sup>

The UK, through the African Conflict Prevention Pool, has – following a £50 000 grant in 2005 – provided a three-year grant of £515 000 for the 2006-2008 period, specifically to strengthen the security sector governance component of the SADSEM programme. It was reviewed favourably in September 2008 and a further support for a new three year programme with support of up to

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<sup>5</sup> See *Terms of Reference for the Advisory Board*, adopted in 2001 and amended in May 2008.

<sup>6</sup> The latest version of the *Standard Operating Procedures* (SOPs) document is from February 2008.

<sup>7</sup> Apart from the project documents see also the *Evaluation of Danish Regional Support to Peace and Security, Regional Integration and Democratisation in Southern Africa*, Copenhagen: Danish Ministry of Foreign Affairs/Danida, November 2008 (*Evaluation Report 2008:07*).

£300 000 per year was recommended.<sup>8</sup> Future funding will however, also depend on the availability of funds through the Conflict Prevention Pool which is uncertain at this stage.

SADSEM has also some (limited) financial support from various donors for specific projects (mainly research). This has included Canadian IDRC, Friedrich Ebert Stiftung and – through BIDPA/FOPRISA - Norway.

All fundraising for SADSEM has been done by CDSM on behalf of the network. Some of the partners have secured additional funding for in-country projects and activities. All partners provide support in kind and several government agencies (but mainly defence) also provide support in kind to SADSEM activities (mainly training courses).

SADSEM's financial activities are guided by the systems and procedures of the University of the Witwatersrand. All accounting and auditing is done by Wits with initial processing through the P&DM finance office. The guidelines for financial management are provided in the Standard Operating Procedures. Basically, CDSM provides the stipulated core funding to each partner and transfers funds for training courses based on requests. Payments to partners are only made after audited financial statements have been received. Three month's advance payment may be issued to a defaulting institution. Credit balances in financial statements will be deducted from the next instalment.

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<sup>8</sup> See the unpublished *Back to Office report on the Southern African Defence and Security Management Network SADSEM 15-17 September 2008*, prepared by Jeremy Astill-Brown, RCA for Southern Africa & Ian Wells, Africa Conflict Programme Manager, 23 September 2008.

### 3 Tracer Study – Findings from the Survey

A tracer study of former course participants was an important component in the Terms of Reference for this assessment. The intention was to distribute a questionnaire to sample of former participants and the executive and certificate courses to get their views on the courses, its impacts and its future evolution. This chapter presents the findings from this survey. First, however, we will summarise some key findings from the available course statistics.

SADSEM offers six different executive courses and three different certificate courses in four subject areas:

- Defence and security management;
- parliamentary oversight of the security sector;
- security sector governance; and
- management of multinational peace missions.

See also the presentation in chapter 2.

#### Executive Courses

SADSEM currently offers five different executive courses:

1. Defence and Security Management
2. Managing Multinational Peace Missions
3. Parliamentary Oversight of Defence
4. Civil-Military Relations
5. Security Sector Governance

In addition there is a senior executive course in defence and security management which lasts for two weeks. All the others typically last for 2-5 days with 5 days being the norm. All executive courses are national with the exception of an annual course in security sector governance which is held in Johannesburg with participation from all SADC countries.

Table 1 below shows the number of executive courses held per year period from 2000 to September 2008. Several courses have also been held since September, but the team did not have access to full statistics from these and they have therefore been excluded from this survey. The original flagship course on ‘Defence and Security Management’ dominates and has been held every year, but with a phasing in of other courses in the second part of the period.

**Table 1: Executive Courses 2000 - September 2008**

	2000	2001	2002	2003	2004	2005	2006	2007	2008	Total
Defence and Security Management	9	8	6	3	6	4	4	3	1	44
Managing Multinational Peace Missions		2	4	1	2	3	6			18
Security Sector Governance						1	1	1	3	6
Civil-Military Relations						7	2	4		13
Parliamentary Oversight		1				4	2	5		12
<b>Total</b>	<b>9</b>	<b>11</b>	<b>10</b>	<b>4</b>	<b>8</b>	<b>19</b>	<b>15</b>	<b>13</b>	<b>4</b>	<b>93</b>

Source: SADSEM Course Statistics 2000 - September 2008

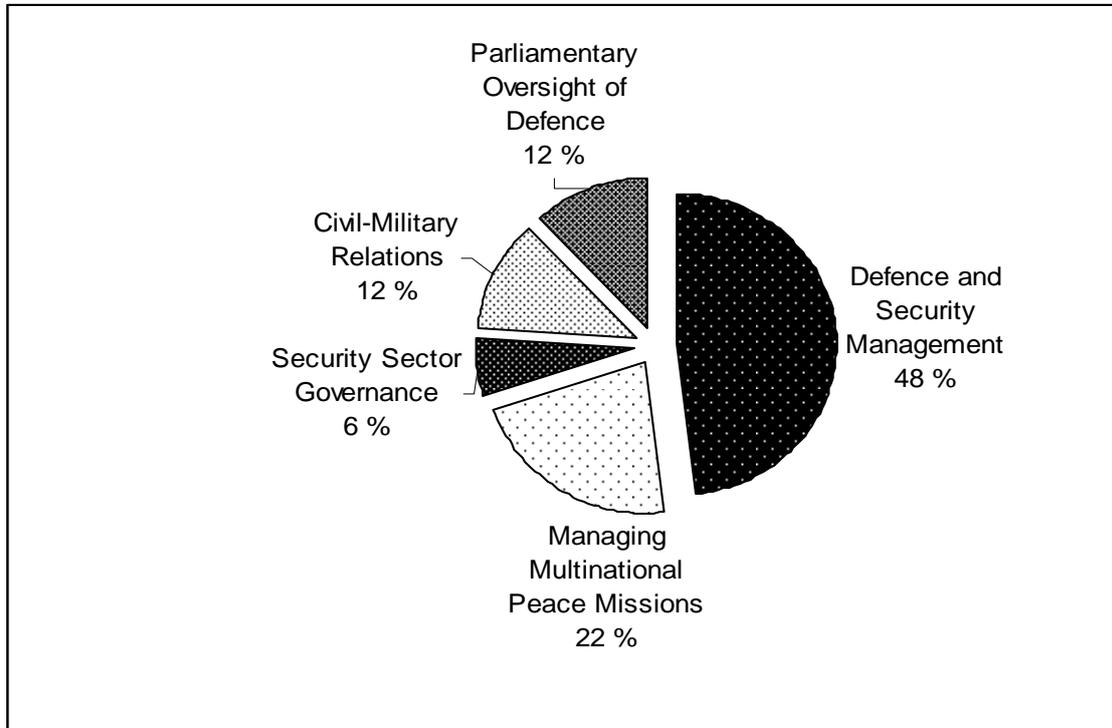
From 2000 to September 2008 the SADSEM executive courses were attended by about 3080 participants.<sup>9</sup> The ‘Defence and Security Management’ courses hosted almost half of the participants with 1479 attending altogether. Figure 1 below shows the proportion of participants in each thematic course.

Most of the course organisers collected statistics on the background of the participants of the executive courses. On average 17 percent of the participants at the executive courses were women, with a variation between courses from no woman attending to as much as 77 percent women as the most extreme exception.

The majority of executive courses were dominated by uniformed personnel from the defence force, the police and the prisons. The only exception is the executive courses in “Parliamentary Oversight of Defence” where parliamentarians and non-uniformed government officials dominate.. On average civil society participation has been low, but with great variations between countries.

<sup>9</sup> Two of the Executive Courses did not record any data on participants. Therefore the total number of Executive Course Participants was slightly higher than 3080.

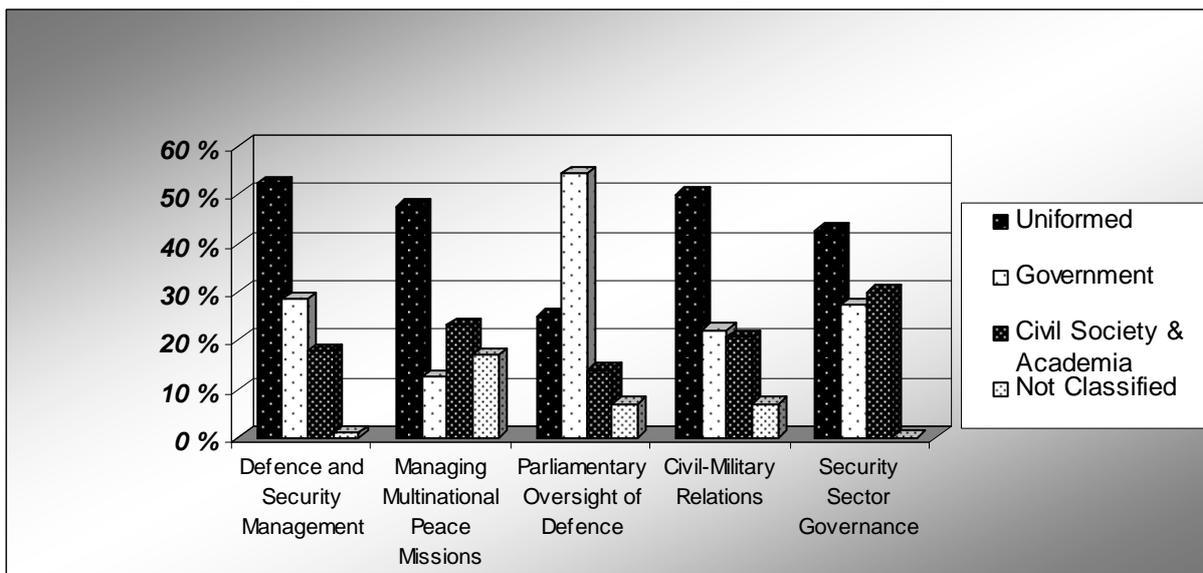
**Figure 1:**  
**Proportion of Participants Attending the Executive Course Thematic Areas 2000 -September 2008**



Source: SADSEM Course Statistics 2000 – September 2008

In figure 2 ‘Uniformed’ includes representatives from the armed forces, prison and police force. It is shown together with the proportion of attendees from government, civil society and academia. The course reports that did not specify details on the participants are listed as ‘Not Classified’.

**Figure 2:**  
**Professional Background of Executive Course Participants 2000 – September 2008**

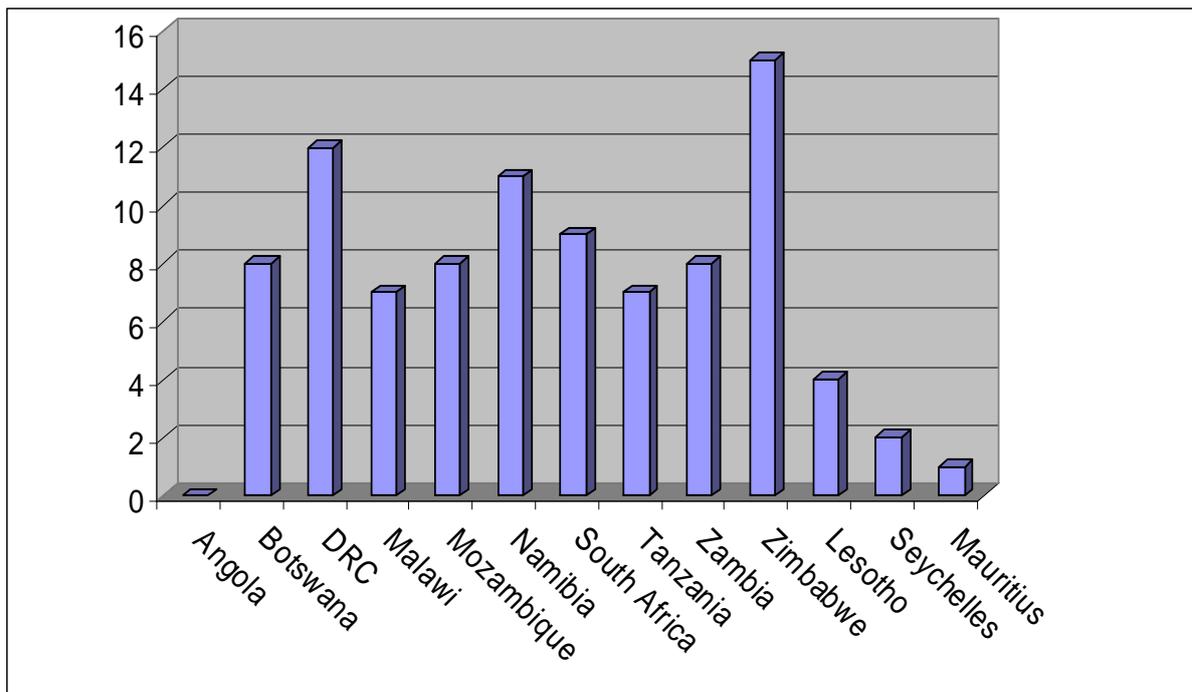


Source: SADSEM Course Statistics 2000 - September 2008

All SADSEM partners are organising a number of executive courses each year, except its newest member Angola where no such course has been held. Executive courses have also been held in SADC countries with no SADSEM partner institution – 2 in the Seychelles, 1 in Mauritius and 2 in Lesotho. The first executive courses in Swaziland and Madagascar took place after September 2008. Several courses have also been held in countries before a partner was identified or established. Figure 3 below illustrates how many executive courses that were arranged in each country from 2000 to September 2008.

The figure is slightly misleading in the case of South Africa. A limited and decreasing number of executive courses are held there. These are two short executive courses for the portfolio committee on defence, and a senior executive course over two weeks for the Defence Command in the SANDF (technically reported as two courses since it was split between different weeks). The annual course in security sector governance held in South Africa is a regional course with participation from nearly all SADC countries.

**Figure 3:**  
**Executive Courses per country 2000 – September 2008**



Source: SADSEM Course Statistics 2000 - September 2008

### Certificate Courses

The annual certificate course has been held 9 times in the period from 2000 to September 2008. A total of 369 people from all 15 SADC countries have participated. All certificate courses are held in Johannesburg. Participation is based on applications and each is assessed individually and is awarded a certificate (postgraduate qualification) by the University of the Witwatersrand upon completion of the course. The course usually lasts three weeks. Each course has focused on one of

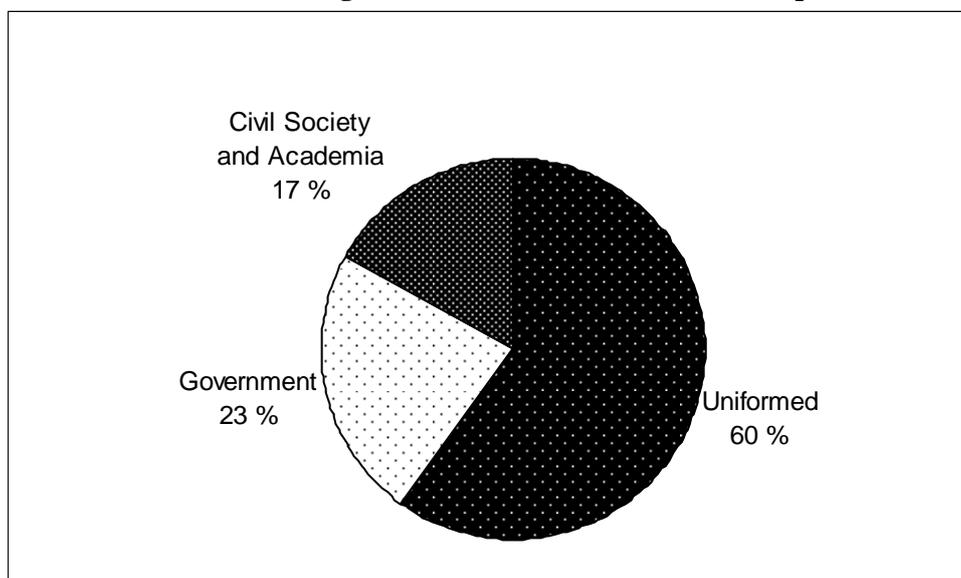
three subject areas: Defence and Security Management; Security Sector Governance; or Managing Multinational Peace Missions. Below is a list of the themes provided each year.

- 2008: Defence and Security Management
- 2007: Security Sector Governance
- 2006: Defence and Security Management
- 2005: Defence and Security Management
- 2004: Managing Multinational Peace Missions
- 2003: Defence and Security Management
- 2002: Managing Multinational Peace Missions
- 2001: Defence and Security Management
- 2000: Defence and Security Management

The professional background of the participants varied between personnel from the defence forces, police, prisons, governments, civil society organisations and academic institutions in all SADC countries. 18 percent of the participants in the certificate courses were women.

Figure 4 shows the professional background of the certificate course participants. The majority are uniformed personnel. This group is dominated by personnel from the defence forces. The proportion of other government officials has increased in the latter half of the period, and the proportion of civil society and academics has gone down in the second compared to the first half of the period.

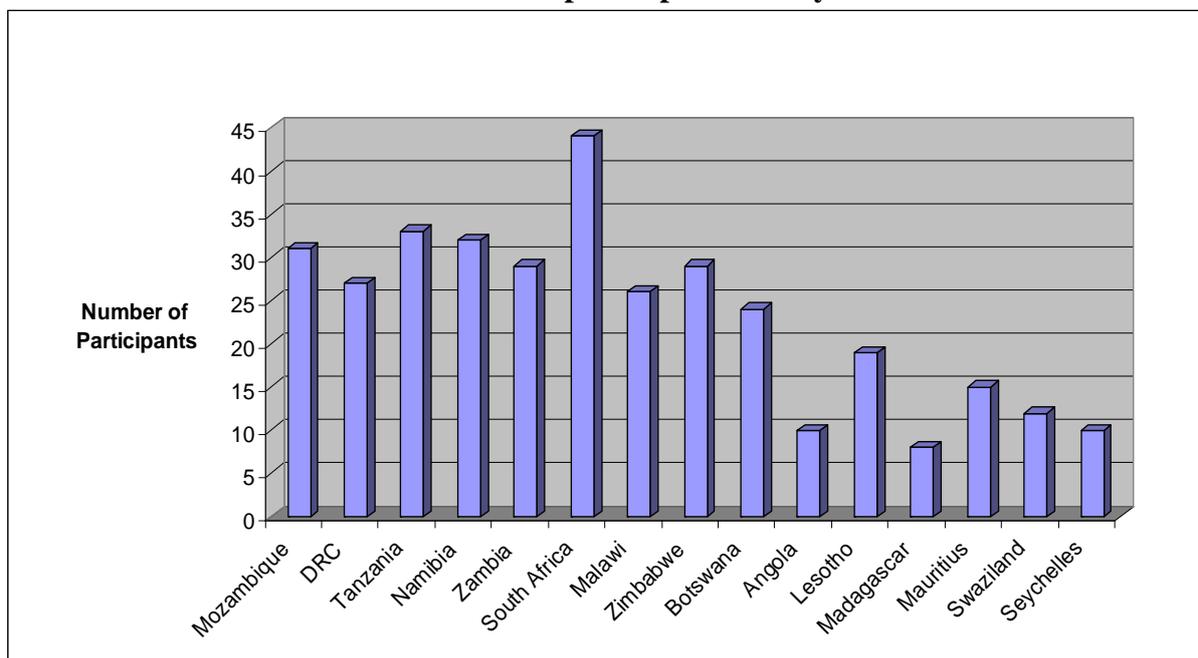
**Figure 4:  
Professional Background of Certificate Course Participants**



Source: SADSEM Course Statistics 2000 - September 2008

Figure 5 provides a breakdown of participants per country.

**Figure 5:  
Certificate Course Participation per Country 2000-2008**



Source: Lists of certificate course participants 2000-2008 provided by CDSM

There is fairly equal representation from all SADC countries with a SADSEM partner, with South Africa sending more and Angola less than the others. It is also noteworthy that there is a strong participation from SADC countries with no SADSEM partner.

### The Survey

To get an understanding of the opinions of former course participants we conducted a questionnaire survey. The following section gives an overview of the method and the findings.

The first challenge was to select a sample of participants. SADSEM does not maintain a central database with contact details of former course participants. CDSM has a register with details of all certificate participants at the time of participation. The team therefore proposed in the inception report that the survey be limited to the 369 people who had attended the certificate courses. Still, the current location and contact details for each participant had to be updated, and the updates was to be done by the SADSEM partners. It was therefore also suggested to further limit the sample to participants from countries with a SADSEM partner. Consequently the proposed sample was reduced to 290 people. This proposal was approved by CDSM.

A sample consisting of only certificate course participants would not be representative of the total number of the participants, but the team still felt that a survey limited to this sample would yield important insights.

The team created a draft questionnaire as part of the inception report. With minor adjustments this was approved. The final questionnaire was translated into French and Portuguese and – through CDSM – distributed to all SADSEM partners together with a list of participants with their (old) contact details. The partner was then required to update the contact details, distribute the

questionnaire to everybody they could reach, collect completed questionnaires and return them to CDSM for onward distribution to the team together with details of how many were reached and how many of those distributed were returned. This process was expected to be completed before the team visited the individual countries – preferably before the end of November.

## Distribution and Response

A total of 81 questionnaires were returned to the team. The outcome is summarised in Table 2

**Table 2: Questionnaire survey: distribution and response**

Country	Participants	Distributed	Completed questionnaires
Angola	10	<i>Not available</i>	0
Botswana	24	<i>No record</i>	3
DRC	27	<i>Not available</i>	11
Malawi	26	<i>Not available</i>	8
Mozambique	31	16	7
Namibia	32	<i>No record</i>	17
South Africa	44	24	19
Tanzania	33	9	4
Zambia	29	25-30	6
Zimbabwe	34	26	6
	290		81

The response rate is nearly 30 %. However, both the distribution and return warrants several comments. The process was more demanding than the SADSEM partners had expected and there were great variations between the partners both in their capacity to deal with these demands and the efforts they put into the management of the process. First, it was difficult and time consuming to update the contact details. In a few cases questionnaires were just distributed in accordance with the old contact details and therefore did not reach the recipients. In a few cases the questionnaires were distributed to people who were not on the list, but had attended executive courses and no record were kept of who actually received it. In the case of Angola – the only country not visited by the team – there has been no response from the partner and we do not know if the questionnaires were distributed and to how many.

Secondly, the logistics of distributing the questionnaire were difficult in many countries. Several did not have access to electronic mail, fax lines were unreliable and non-functioning and postal services were weak. This often implied that questionnaires had to be physically delivered and collected by the partner.

Thirdly, there were also variations between the partners in how much effort they put into reminding recipients of the need to return the questionnaires. In the case of South Africa there were few returns (only 4 after 3-4 days) and CDSM then made telephone interviews with those they could reach and then entered the replies into the questionnaire (by a mistake CDSM distributed the draft questionnaire and also used the draft when making interviews. Subsequently they entered the replies to the draft into the final questionnaire).

Fourthly, several people could not be reached because they were travelling or not in office. This also included former participants who were away on peacekeeping missions in DRC and other countries.

All of these factors may have led to certain biases in the response. Still, and despite these shortcomings the completed questionnaires give a fairly uniform picture which provide important insights into the reception of the SADSEM programme. The findings are summarised below.

## Findings

On average the participants were 49 years old, and 82 percent were males. The professional titles of the participants included NGO staff, lecturers, Directors, Colonels, Majors, Brigadiers, Generals, Deputy Permanent Secretaries, Permanent Secretaries and Members of Parliament. The proportion of uniformed representatives was 58 percent and these were almost exclusively from the military. Governments had 25 percent of the participants while civil society and academia were least represented with 17 percent. There were respondents from all years, but the strongest was from the last six years.<sup>10</sup>

Most of those who participated in the SADSEM programme were nominated by their employer. However, NGO representatives reported more often than the other groups that they were invited directly by SADSEM.

The following were the main reasons given by respondents as the motivation to participate in SADSEM courses:

- To enhance scholarly capacity
- To enhance capacity within their organisations

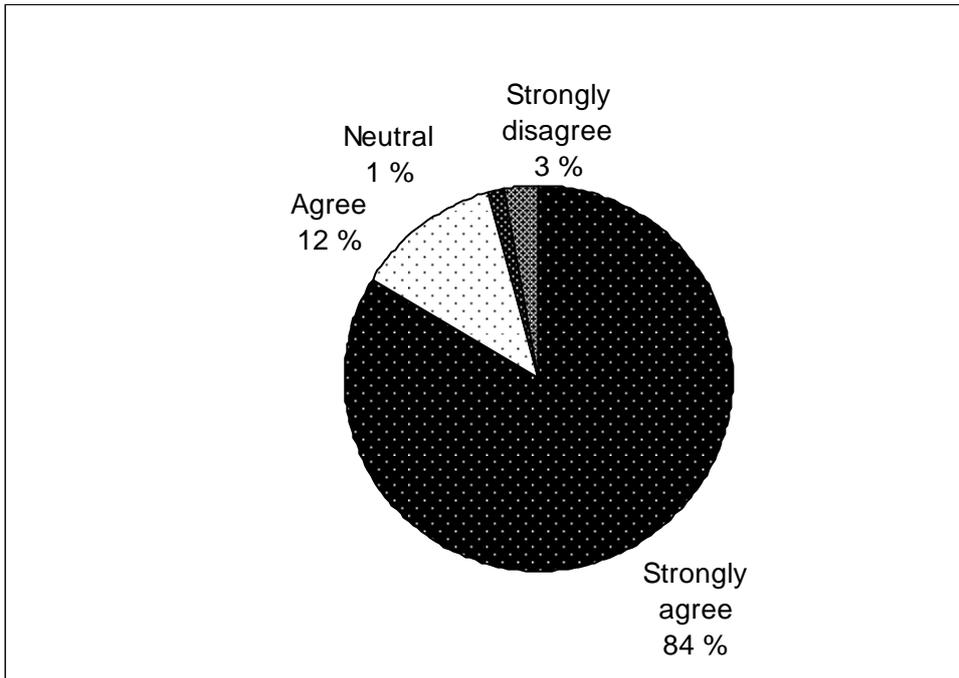
### How was the Certificate Course Perceived?

Respondents of the survey were asked to indicate the degree which they benefited from the course by evaluating five statements. Below is an overview of the results:

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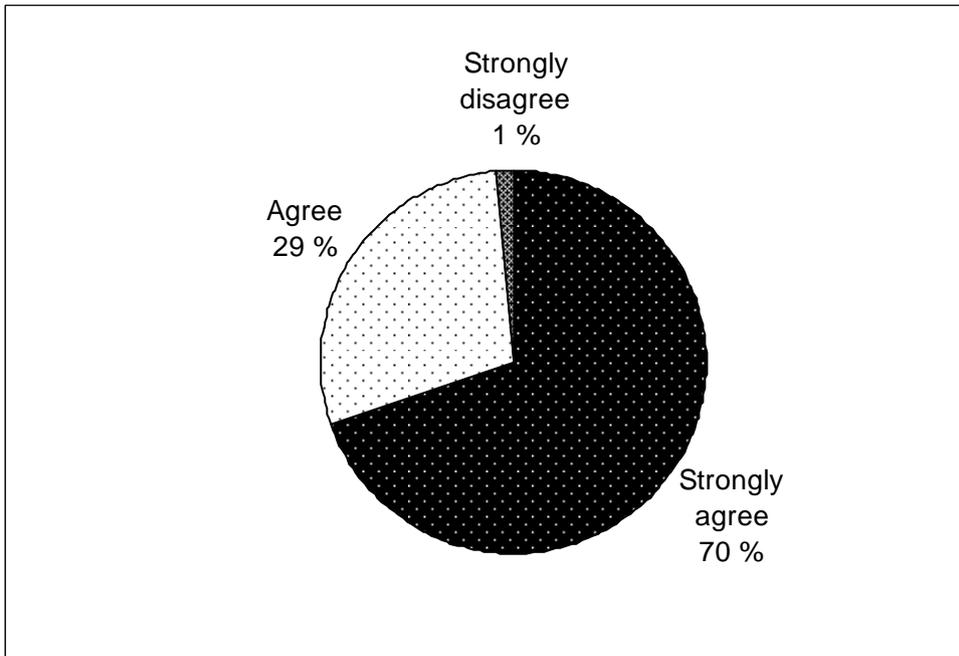
<sup>10</sup> Due to a technical error in the copying of the questionnaires from Zambia the answers to question 10 b) d) f) from the 12 Zambian respondents were not available to the team.

**a) The SADSEM Certificate Course has benefited me as an individual**



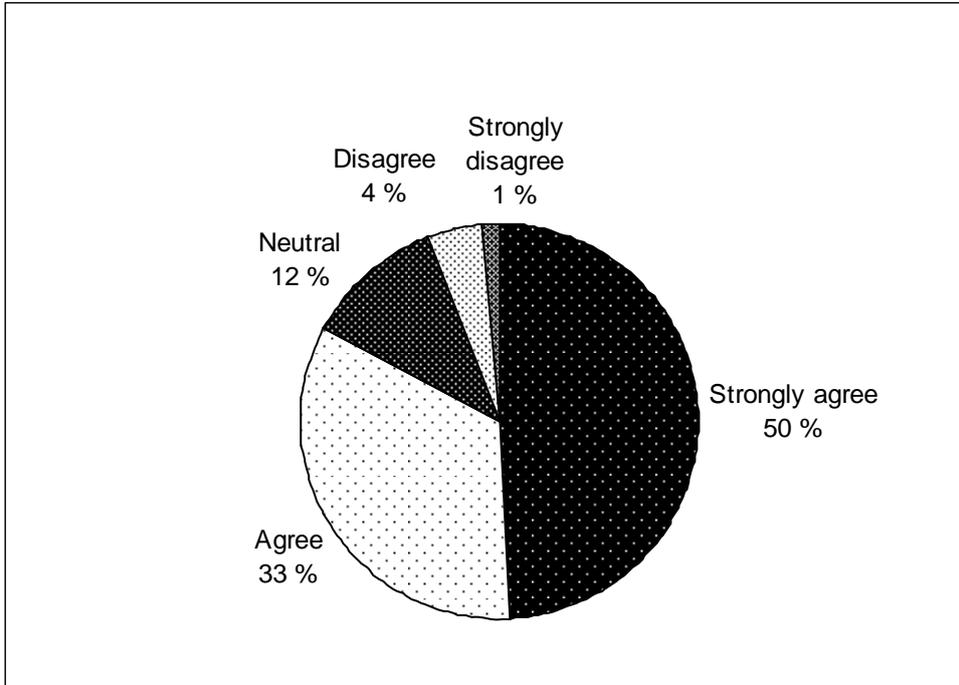
The figure shows that the majority of the participants found the course highly rewarding at the individual level. As many as 84 percent strongly agreed while 12 percent agreed.

**b) The SADSEM Certificate Course has enhanced my understanding and knowledge of defence and security management**



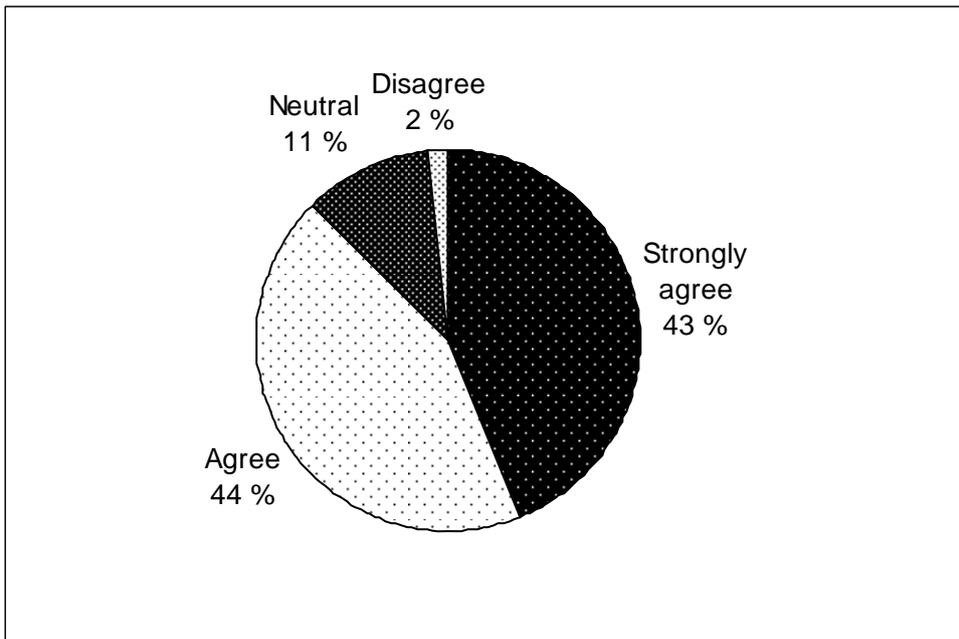
The responses on the question of the course impact on learning shows that almost all the participants felt they gained new knowledge.

**c) The SADSEM Certificate Course has benefited my career**



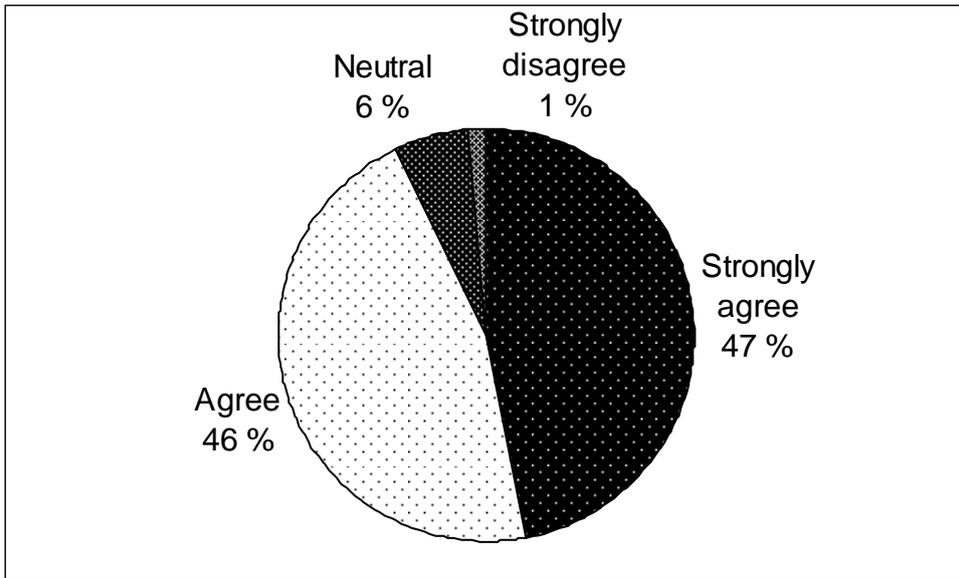
Half of the participants strongly felt that the course had benefited their career, 33 percent agreed while 12 percent were neutral. Of the respondents 5 percent either disagreed or strongly disagreed. A larger proportion of the South African participants did not find the course to have benefitted their career.

**d) The SADSEM Certificate Course has helped improve the performance of my organisation**



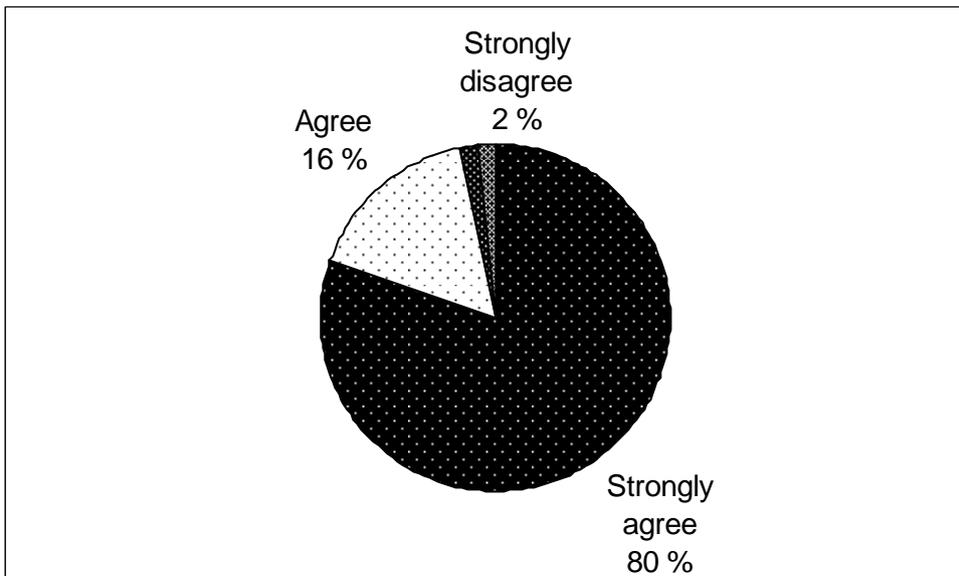
The performance of the participants' organisation was strongly believed to have benefited from the course by 43 percent while 44 percent agreed that the course had a positive impact. Altogether 11 percent were neutral and 2 percent disagreed. We note that a larger share of the respondents feel that they have benefited individually (cf. the response to statement c) above).

**e) The SADSEM Certificate Course has made it easier to engage in regional collaboration on security and defence issues**



According to the responses 93 percent felt that participation at the course made it easier to engage in regional collaboration.

**f) I have/would recommend participation in the SADSEM Certificate Course to others**



The figure shows that a total of 96 percent would recommend others to attend the SADSEM certificate course. A very small number strongly disagreed, but their comments did not give any explanation for their views.

In sum, the response from former certificate course participants indicates a strong positive assessment of the quality and relevance of the course. Between 83 and 99 percent either strongly agreed or agreed that the course had benefited them individually; their organisation; and their career. Further, the training had enhanced the understanding and knowledge of defence and security management and made it easier to engage in regional collaboration.

The survey results did not show any clear trends of differences between the responses of participants based on gender, year of participation or nationality.

### Future SADSEM Training

For future SADSEM certificate courses two recommendations were given by about half of the respondents:

- Expand the duration of the course
- Expand the training programme to cover other areas

The suggested length of the training at the certificate course ranged from one month to a whole semester. Explanations for why they wanted a longer course were a combination of wishing to cover more issues and to be able to go deeper into the issues already presented. More days of training were believed to enhance the ability of the participants to utilise the knowledge in the work place and the chance of participants understanding the issues well enough to be able to teach others when returning to their workplace. However, one respondent pointed out that the duration of the course should not be extended. His argument was that since participants in most cases were occupants of key positions within their organisations it would be damaging to send them away for longer periods.

Various courses had different curriculums, but there were still some issues that were frequently mentioned as shortcomings of the course programmes. The ability of the course organisers to incorporate current issues was seen as important. Respondents also listed specific issues which they felt should be more highlighted. This included:

- regional intelligence;
- stress management during operations as well as in peace;
- organisational working processes;
- public safety issues;
- community awareness programmes;
- local and cultural factors in defence and security; as opposed to Western approaches;
- civil and military collaboration;
- peace building and reconciliation; and
- forced migration

### SADSEM's Impact

The impact of SADSEM was explored through two questions: How did the participants view the impact of the programme in his/her country? How had the programme helped to promote a better

understanding of regional cooperation and security? Each respondent was requested to give at least one example and short explanation to these questions.

Impact on country level: The responses were generally very positive. The most frequent examples and reasons mentioned were:

- Participants gained a broader understanding of how their country was affected by regional security issues;
- Participants gained a broader understanding of how NGOs; military and government operate and would benefit from working together;
- The courses promoted an early-warning system;
- Abilities to formulate policies and do strategic planning were enhanced;
- Capacity of leaders were enhanced;
- National and regional peace building were promoted;
- Social and professional networking contributed to better collaboration across borders; and
- The need for security sector reform was identified

Impact at the regional level: The most frequently mentioned explanations were:

- The understanding of regional issues was greatly enhanced by gathering representatives from several sectors and countries to discuss and share information;
- The certificate course created a forum for research and analytical exploration of defence and security matters;
- Understanding between NGOs, parliamentarians and militaries was improved and collaboration was therefore made easier both at the country and regional level;
- The certificate course helped to updated the participants on the current security issues in the region;
- Links between institutions with similar objectives in Southern Africa were created and strengthened; and
- The course helped shape an common understanding of security, the role and functions of regional groupings, and the challenges facing efforts to improve security.

It was also emphasised by several respondents that there was a need to put more efforts on how to follow up participants after completion of the training course. This would help ensure that knowledge gained would not be forgotten and assist former participants in making use of their new competences.

Overall, “enhanced communication” was the most positive feature highlighted by respondents. The improvements mentioned were linked to communication within the defence forces; to communication between different security agencies; to communication between NGOs, government and the security forces; and to communication between different SADC countries.

## 4 SADSEM's Training Programme

Training is a core component of SADSEM's activities in the Southern African region. Through these training activities, the network and its partners seek to contribute to the effective democratic management of defence and security functions in Southern Africa. The training programme is dominated by over 90 executive courses and 9 regional certificate courses held since 2000 (see Ch. 3). Over 3500 people from all SADC countries have attended these courses.

### Achievements

SADSEM's executive and certificate courses appear to be highly successful and enjoy a solid reputation among security sector stakeholders in Southern Africa. This has led to strong demand from security agencies (especially from defence) for SADSEM to deliver training (including accredited courses, such as diplomas and degrees – see more on education programmes in Ch. 5). By all accounts, this demand for training far outstrips the available supply.

Most SADSEM partner institutions have established close links or formalised arrangements with the Ministry of Defence and the associated military training institutions, and with some variations with other security institutions. SADSEM has recently signed a Memorandum of Agreement with the SADC Organ's directorate on politics, defence and security co-operation.

SADSEM's two main achievements in training can perhaps best be summarised as on the one hand its success in building in-country capacity to deliver such training courses, and on the other its pioneering efforts to open space for debates on national and regional security policies by bringing security institutions together, and by bringing security institutions together with civilians. These efforts cannot easily be measured or quantified, but there appears to be a unanimous view that SADSEM's training programmes are highly valued and appreciated.

### Course Participation

SADSEM executive courses are highly subscribed, reflecting growing demand for executive training as well as the strong profile and pedigree that SADSEM enjoys. The partner institutions broadly share the same approach when inviting nominations for both executive and certificate course training. An invitation letter (prescribing the requisite qualifications and background for participants) is addressed either to the Permanent Secretary in the Ministry of Defence (who then indirectly distributes this invitation to other ministries) or directly to relevant government departments, agencies, and NGOs. Some partner institutions play a more active role than others in vetting and identifying people to attend courses. In the certificate courses there is also an additional element of processing applications since the participation here is also accredited by the University of the Witwatersrand with individual assessments.

The profile of executive course participants typically represents a cross-section of the security establishment, but in most cases with a primary focus on the Ministry of Defence and the Defence Force. Participation would typically also include police, intelligence and prisons and in some countries also civilian government departments. Invitations and participation from civil society (NGOs) are more uneven with major differences between countries. At the certificate courses the civil society participation is small and decreasing (but the proportion of "non-uniformed" government officials is going up). With the introduction of courses on parliamentary oversight and

security sector governance there has been a much stronger focus on participation from parliamentarians and others from civilian government departments.

In the case of the senior executive courses in defence and security management these are courses commissioned by the Defence Forces in South Africa and Mozambique targeting the higher echelons of command and management (brigadiers and above). Participants at these courses are selected by the commissioning agencies.

The team is of the impression that in most cases, SADSEM is targeting the right people and institutions and that in the majority of cases it succeeds in attracting the right people. Most countries are noted for the impressive and noteworthy level of government participation across different ministries and agencies. There are variations between countries both in relation to participation from women, civilian officials, NGOs and in ability of partners to target and attract the right individuals. This also reflects the particular strengths and capacity of security institutions. In the case of NGOs there is also the added challenge having to identify who should be invited.

## Quality and Focus

Both the executive and certificate courses are accredited by the University of the Witwatersrand and are required to be delivered in accordance with prescriptions and guidelines from Wits. Participants in each course are also required to complete a standardised evaluation form developed by CDSM and each partner must submit a report with an assessment after completion of each course. This ensures the minimum requirements for a quality control. Furthermore SADSEM has held several curriculum review workshops with partners to help strengthen and improve the quality of the courses (focusing on case studies, teaching methodology and teaching material). Partners tend to regard these measures as good and satisfactory.

The Wits certificate course offered by CSDM is highly regarded. The courses are reported as well organised, with well prepared materials, excellent facilities and resources (access to internet appreciated), and with good lecturers. Simultaneous translation of lectures and discussion in three languages (English, Portuguese and French) has also greatly improved the quality of the course for participants. This is also confirmed by the findings from the tracer study (Cf. Ch. 3).

Local delivery and ownership of SADSEM's training activities remains a key strength of the programme. In this regard, partner institutions regularly consult with their security sector stakeholders to determine the demand for particular executive courses and to align in-country training modules with recent institutional developments and policy reforms (e.g. Police Reform Bill in the DRC; Intelligence and Security Bill in Botswana; etc). This helps ensure that the course content remains relevant and topical.

Through interviews and questionnaires, some participants have expressed the need for greater specialisation or more focus (as well as broadening of thematic content). It has been suggested that the executive courses are too biased towards defence (more attention should be paid to public safety or the justice sector as a whole); international police cooperation to combat transnational organised crime (including the role of technology in fostering crime); the security implications of poverty, food insecurity, and climate change; and the applicability of the guidelines provided in the UN Charter Chapter VI/VII.

SADSEM has expanded its training programme from focusing mainly on defence and security management and comprises courses in four subject areas with a recent strong emphasis on security sector governance and parliamentary oversight. This has brought three related issues to the fore.

*First*, is there sufficient focus in the training programme? The team does not draw any firm conclusion on this. Most respondents interviewed tended to want more and also a broadening of the theme as indicated above. Others pointed out that the courses offered in management of multinational peace missions added little value compared to other similar courses provided by others. There are also likely to be variations between countries in the needs and demand for specific courses as well as in topics selected. The one important message that the team will make is that SADSEM must be mindful of the need to maintain an overall focus and not to expand into areas where they cannot provide scholarly capacity.

*Secondly*, SADSEM also needs be clear about whether they want to deliver courses that shall deliver technical/operational skills to participants or knowledge/empowerment/public debate. The latter needs differ between courses and between countries. Demands in the region will easily pull SADSEM in different directions. Competition from other course providers in the region (e.g. ISS, ACCORD, etc) reinforces this need for clarity.

A number of SADSEM partners are developing close working relationships with in-country military and police training academies. These positive developments will unfold differently in each country, and also serve as a potential source of sustained revenue income. A key challenge will emerge for partners in clearly defining their identities and roles as independent institutions in relation to responding to practical training needs, or to provide a space for policy discussion, public debate etc. Do they want to be academic institutions which also provide training, or will they become training institutions with academic links?

*Thirdly*, the scope of SADSEM's current activities in training also suggests that the focus of its training cannot be expanded without an expansion of human resources to do so. It has successfully helped create a base of lecturers in the region that deliver courses (and significantly reduced the burden on CDSM which in the early days provided lecturers at most courses in the region). Still, the network struggles to deliver on commitments. It is extremely demanding to develop and deliver course modules and materials in three different languages. SADSEM has signed a Memorandum of Understanding (MoU) with the SADC Parliamentary Forum (SADC-PF) which provides for regional courses for parliamentarians, but has not had the capacity to follow up.

## Impact

By all accounts, SADSEM's training activities – i.e. executive and certificate courses – have had a positive impact in the region. The responses from questionnaires and interviews were fairly unanimous that the courses have helped strengthen the knowledge and competence of participants. There is also anecdotal evidence that in many instances, participation in SADSEM courses (especially the certificate courses) has helped the careers of individuals in security institutions. But this experience varies by country: while one Ministry of Defence is keen to ensure that participation in SADSEM executive courses can be accredited and is formally linked to the promotion of individuals (e.g. Namibia), other participants report that the courses do not have a bearing on their status and promotion in the workplace (e.g. Zambia). Nonetheless, there is a generally strong trend, especially in defence, to encourage individuals to participate in SADSEM courses. In several countries the Defence Ministry or the Defence Force sponsors the courses in different ways, or even requests SADSEM to deliver tailor made course for senior staff (e.g. South Africa, Mozambique).

The team is not able to say how much and to what extent this training of individuals has impacted upon the institutional performance of those sending people for training. The findings both from questionnaires and interviews are mixed. There is strong evidence of support for this type of training from Ministries of Defence and others (as indicated by the examples in the previous

paragraph). Several participants expressed in interviews that that they would have liked to see more follow-up after the completion of training.

Has the programme helped to improve the normative and policy frameworks for defence and security sector – in the countries and at the regional level? This is again near impossible to measure (Cf. ch. 1). What we do know are that key individuals within SADSEM are part of more intangible networks of influence and support with their in-country security sector leadership and in regional processes linked to the SADC Organ. While the impact and influence of these relationships appear at times to be significant, it is not possible in this assessment to test or verify these assertions. While these relationships do not appear to be formal or institutionalised and are thus vulnerable to changes in leadership and political fortunes, there is a strong indication that it is these relationships of trust that have enabled the high-level in-country endorsement of the courses run by SADSEM partners.

It is suggested by SADSEM partners that it is because of this trust and endorsement that the courses have been able to introduce information and discussions that have contributed to important shifts in national policies and practices. It is reported that courses run by outside organisations may be professionally organised and have relevant content, but the process and outcomes of these workshops and courses do not have the same depth and impact.

The neutral and trusted space provided for inter-sectoral dialogue in courses run by SADSEM partners are reported by all respondents as being at least as important as the course content. Multiple anecdotes were related by those interviewed that executive in-country courses were unprecedented in being able to promote inter-sectoral dialogue and shared conceptual advances on roles and responsibilities of all stakeholders in promoting national and regional security. These processes are reported as having had a positive effect in nurturing the implementation of initiatives in developing national security policies, promoting increased transparency and openness, and civilian and parliamentary oversight of the security sector.

This process is important. By bringing security institutions together, and by bringing security institutions together with parliamentarians and civil society, SADSEM has opened up space for public debate on important, sensitive, and often secretive issues (e.g. defence spending). The diversity of participants in SADSEM's training activities is recognised as having a valuable role in developing wider understandings of the complementary roles played by these actors in promoting national and regional security.

The certificate courses have played an equally important role in promoting a regional understanding of security and the common challenges that SADC confronts. In addition, the certificate course provides an opportunity for participants to establish networks. Those interviewed for this study credit SADSEM with helping to change attitudes towards regional peacekeeping operations.

The selected examples that follow highlight this important role of SADSEM:

- In Botswana, SADSEM contributed to widening the security concept and understanding to encompass human security. The SADSEM partner has also been actively involved in that country's security sector review, which aims to craft a new security policy for Botswana;
- In the DRC, SADSEM training activities and follow-up processes contributed to wide discussion of (and improvements to) the draft bill on the reform of the police that is now before parliament;
- In Tanzania, the regular attendance of Zanzibaris in the SADSEM executive course on civil-military relations has improved the civilian-defence atmospherics between

the two sides (the courses are typically held away from the capital, in Zanzibar, Morogoro, or Arusha); and

- After decades of civil war in Mozambique, SADSEM training has become a positive channel for building horizontal trust and confidence with the security sector and vertically, between it and society. Moreover, Mozambique's White Paper on Defence was developed by a team comprised of former SADSEM course participants.

While these outcomes are all salutary, some SADC countries still confront key challenges. It is held that SADSEM can play an important role. Interviews suggest that civil-military tensions in Tanzania still persist (particularly over budgetary matters and defence spending). This partly explains the absence of a coherent national defence policy and an overarching security philosophy (Tanzania has yet to see the equivalent of a Defence White Paper). Nonetheless, membership of the SADSEM network is deemed invaluable since Tanzania is seeking to improve its defence management system, particularly following the terrorist attacks in Dar-es-Salaam in 1998. In the case of Zimbabwe, SADSEM has played a small part in improving public debate and knowledge of security institutions; in some areas, national security policies have become more accessible. In this regard, SADSEM has laid a good platform for further engagement on security sector governance. The importance of bringing together all stakeholders in the security sector (including opposition factions) through SADSEM courses should not be underestimated.

There are differences between SADSEM partners in the extent to which they have been able to move beyond the delivery of executive courses. Some partners provide on-demand training that extends beyond the SADSEM remit (which provides an alternative income-stream); other partners have also formalised arrangements and MoUs with defence command and staff colleges to assist with training.

## 5 Research, Education and Capacity Building

This area has constituted an important focus in the work and outputs of SADSEM. It derives its logic from the fact that policy choices, institutional management and professional practice should be informed by sound research and analysis in SADC's complex defence and security environment. The effective use of research, education and capacity building initiatives have the potential to improve public policy decisions, to develop bases of good empirical knowledge, and influence changes in defence and security policy, practices and behaviour. As such and since the inception of the network, there has been an *expectation* that partners would contribute to its academic and intellectual life.

The outputs in this area have been impressive. The publications list (see annex 5) is long and there has been remarkable growth in education programmes and student enrolment over the past couple of years. This will lead to a major output of postgraduate students and security-literate officials in the coming years. This is even more impressive considering the limited funding for this in SADSEM's budget. The main donor (Danida) provided support for the establishment of the Chair in Defence and Security Management in 2000 and for joint co-operation with the Danish Institute of International Affairs, but has otherwise provided limited support in this area. Research funding has mainly been secured for project-specific purposes.

The contributions have been unevenly spread across the network, with some doing more than others and some taking this responsibility more seriously than others. CDSM still remains the epicentre of the research output and related initiatives and has also taken the lead in providing opportunities for tertiary education and capacity building. Educational programmes have been launched by several partners with Chaire UNESCO running a particular large masters programme.

### Key Outputs

The key outputs are in publications, scholarships and internships, and accredited university diplomas and degrees.

Publications, of varying quality and relevance, are produced in the three working languages of the network, namely, English, Portuguese and French. However, the bulk of the research output is in English since most of the countries belonging to the network have English as their medium of research and academic communication. There is also large output of masters dissertations and also several research monographs in French from the partner in DRC. Important collaborative research work has also taken place under the auspices of the network and this has resulted in the publication of important edited books such as Gavin Cawthra, André du Pisani and Abillah H. Omari, (eds.), *Security and Development in Southern Africa* (Johannesburg: Wits University Press, 2007). The network's core training and education competences are reflected in its research agenda, covering themes in civil-military relations, security governance and transformation, promoting peace and resolving conflict, defence management, and country specific concerns.

The provision of scholarships (although numbers allocated to partners are contested) together with internships and the supervision of higher degrees by network academics is another important activity. Thus far, 24 scholarships to masters and Ph. D. students have been awarded (all to non-South Africans).

The largest number of master students is found at Chaire UNESCO in DRC where so far 107 students have graduated. They may however, be bypassed by Wits University with the new programme started there. Wits has the largest number of students who are enrolled for Ph.D. studies. The other network members also participate in building scholarly capacity by offering diplomas, undergraduate and post-graduate degrees in different aspects of defence and security studies. Network members have also taken advantage of internships at CDSM where students typically have worked on doing research on and preparing their thesis proposals. The launch of new diploma and masters courses are, however, extremely demanding and require substantial input from partners in teaching and supervision.

Particular mention must be made of the many Ph. D. dissertations which have been completed or are in progress under the supervision of the Chair in Defence and Security Management at Wits, Professor Gavin Cawthra. This includes e.g. a study of management of access to secret information in South Africa by a former senior official in the National Intelligence Agency and a study of civil-military relations by the parliamentary researcher at the Parliament of Zambia.

## Quality and Relevance

From a research, education and capacity building perspective, SADSEM is a unique undertaking because its work comes up against two key challenges:

- There are political imperatives to move beyond ideological issues to pragmatic policy and management considerations of what constitutes sound knowledge and information (evidence), what makes practical sense and how to impose analytical order on complex defence and security issues that is at once of benefit to a scholarly, policy community as well as lead government ministries and institutions. Critically, such activity should also enlighten and inform public discourse on defence and security matters, given the normative requirement of transparency and accountability.
- There is also the need for SADSEM, as part of its research advocacy, to actively solicit or make the case for resources to be directed to key themes in defence and security management and further to decide which themes should be prioritised.

In both respects, SADSEM has been found wanting. There is a point of view that research is probably the weakest link in the network primarily because network members seem dependent on CDSM for providing funding and research leadership. The research function does not appear to be properly integrated and mainstreamed into the SADSEM profile and mandate and hence appears to be more of an ‘add-on.’ A manifestation of this is the unevenness of research output across the network, where some partners have yet to produce anything of substance. It is worth citing a few observations in one country report which are symptomatic of the problem in the region:

“The supportive infrastructure that most university researchers take for granted is not available—internet connection not available, very limited access to books and journals, limited telephone availability and no fax machine. From a human resource perspective there appears to be very limited time available for even reading—with administration, management and teaching responsibilities already requiring substantial commitment. A third element is that there has been limited opportunity for developing capacity in research methodology and critical inquiry towards a publication-driven objective—in short there are many more barriers to research than there are incentives”

These concerns point to a clear and present need for a more structured approach to developing a SADSEM-managed research platform. Nevertheless, FOPRISA’s annual conference has de facto

become an important alternate platform and a useful clearinghouse for partners to present security-related research.

Besides its purely academic worth, a survey of SADSEM's research output suggests that it can have a range of other influences, which include improving policy literacy in security and defence management, as well contributing to better managerial and professional practices and behaviour among the beneficiaries of its training courses. There is evidence of different impacts that could be highlighted (with CDSM again providing much of the network's centre of research gravity).

One such impact is instrumental in terms of influencing changes in policy, practices and behaviour, especially at the level of SADC's defence and security mechanisms. Here reports, policy briefs and interactions with policy makers have been an important part of SADSEM's intention to promote security sector reform, although their direct impact may be difficult to assess. Where SADSEM has certainly made a mark is at the conceptual, theoretical and normative levels relating to contributing to a knowledge base, a higher level of analysis and understanding, and developing research tools and methodologies in security matters. The output here includes peer reviewed articles, book manuscripts and edited volumes, conference papers, book chapters and dissertations. (The SADSEM-sponsored journal had an untimely demise because its organisation and management suffered from a very weak and uncertain institutional base in Zimbabwe.)

Several of those interviewed by the team emphasised that SADSEM should develop into a regional "think-tank" on security issues. The team has some reservations about this, partly because of the capacity constraints, but also – and more significantly – because this type of policy studies may better done by in-country partners. SADSEM could put more emphasis on assisting partners in doing this type of work. One example may be the case of Zimbabwe where there is a great demand and need for technical and scholarly work in the rapidly emerging issue of security sector governance. At the regional level, however, SADSEM could potentially become a strong platform for improved and better engagement with SADC. The recently signed MoA with the SADC Organ directorate is an important avenue for developing a work programme on this.

It is also important that SADSEM puts much more emphasis on dissemination of research (and in a general marketing of itself). An expansion and improved distribution of the SADSEM Newsletter will be an important first step. The Newsletter could also summarise recent research findings, but production of special research briefs should also be considered.

Future research efforts should thus concentrate more in advancing the instrumental dimensions such that findings are readily transmitted and operationalised in policy thinking and in a manner where such efforts could influence decisions and how these are made at both national and regional levels. While we recognise that decision-making in the security sector is not easily penetrated and is often diffuse in an incoherent architecture with different guidelines, protocols and organisational processes, there are important empirical and policy-relevant generalisations that have emerged in SADSEM-generated research that should find an appropriate 'conveyor belt' into the security and defence management processes in SADC.

In this respect, SADSEM research will not only be able to assist with defining the choices that have to be made, but crucially also help to shape the values and understanding of the defence and security discourse in the region and improve SADC's absorptive capacity for policy-relevant information. In this regard, a key challenge for SADSEM is to help in creating an environment whereby research is actively valued, sought after and used by its different stakeholders. It is at this point where the relationship between the purpose of SADSEM research and its training courses is not entirely clear since there is a compelling logic that they should be interactive and mutually reinforcing.

What all this suggests is that SADSEM has made important advances in research, capacity-building and education in a very challenging and fast changing defence and security environment. As was highlighted in one country visit, it must do more to help develop a younger and committed community of researchers; and it needs to forge a reflective and tactical interface with the SADC structures responsible for defence and security issues.

## 6 Network Management

SADSEM operates within a diverse and complex regional milieu. The team is not aware of any other active networks in the region that have managed as successfully to embrace the challenges of functioning across diverse political, institutional, cultural, language and geographical contexts. The gradual establishment of SADSEM over the past ten years is testimony to individual leaders seizing an historical window of opportunity, and being astute and careful in nurturing interpersonal, organisational and political possibilities.

The positive impact created through the network's leadership has emerged from their intimate knowledge of, and sensitivity to, needs, practises and nuances within the security sector in each member country, and in the region as a whole. While the impact and influence of these relationships appear at times to be significant, it is not possible in this assessment to test or verify these assertions. These 'communities of practice' are in the early stages of becoming more formal and institutionalized and are thus vulnerable to changes in leadership and the political fortunes of government counterparts.<sup>11</sup> There is a strong indication that it is these relationships of trust that have enabled the high-level in-country endorsement of the courses run by SADSEM partners.

In some important respects the flexibility or relative informality allowed within the operations and structuring of SADSEM has enabled these communities of practice to be built. The neutral and trusted space provided for inter-sectoral dialogue in courses run by SADSEM partners are reported by all respondents as being at least as important as the course content.

The generous core funding provided through Danida has been critical in enabling the network to engage in an extended pioneering stage of organisational development. The core funding has enabled a flexible needs-driven approach to deploying funding in uncomplicated yet accountable ways.

While the network has functioned within the parameters of good governance, there is always room for improving on operational arrangements. The current funding crisis presents opportunities for re-visiting roles, responsibilities and procedures. Taking into account the challenges and costs of working at regional scale with multiple languages, the network has been both effective and efficient in producing training outputs through its executive and certificate courses. Furthermore, the network has created an unprecedented regional 'space' that has provided immeasurable support for in-country actors facilitating the development of policy and transformation towards democratically managed security structures in the region.

While its own successes have promoted the network amongst its immediate stakeholders, SADSEM has not had the resources and/or not made it a priority to promote itself more broadly amongst potentially important stakeholders. This limited self-promotion has probably resulted in lost fund-raising opportunities.

SADSEM has played a critical role in enabling the beginnings of sustained in-country education and training partnerships with the security sector. The imminent cessation of core funding is likely to precipitate a number of crises, some of which could undermine the progress of younger partners at critical stages of institutional development. Security sector partners are increasingly contributing

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<sup>11</sup> SADSEM has a recently signed Memorandum of Agreement with the SADC Directorate on Politics, Defence and Security Cooperation. The network also has a MoU with the SADC Parliamentary Forum. Partners in most countries have already, or are in the process of developing MoUs with key in-country role-players in the security sector.

towards the costs of SADSEM partners running training courses. SADSEM partners are also increasingly contributing to official in-house staff training of these in-country partners. It is unlikely at this stage that the functioning of the network can be funded from within SADC countries. There are however indications that SADSEM could be supported by donor countries in partnership with relevant SADC structures. Funding for individual partners and their participation can also be sourced from country programmes of donors.

SADSEM faces a critical juncture in its operations. If core network funding is not sourced within the next three to six months, SADSEM will lose opportunities and essential functionality and communities of practice that may be difficult to revive at a later stage.

## Partners

All SADSEM partners<sup>12</sup> are committed to providing enhanced support and training to the security sector in their own countries. There is a clear recognition by partners of the value that the network is able to mobilise in terms of finances and in developing and sharing of materials and experience. Partner commitment to engaging at the regional level is more uneven, and is a function of capacity, resources and language.

While the network technically comprises the sum of training and education institutions in partner countries, there is a strong view by beneficiaries that SADSEM has developed into a regional public good. Each SADSEM partner has strong working relationships with the security sector in their own country, and has also increasingly developed working relationships with other SADSEM partners in terms of teaching and research. The existence of SADSEM and the courses it has been able to offer has played a significant role in deepening in-country and regional relationships with the security sector.

## Network Management

The organisation and structure of SADSEM is described in Chapter Two. This section reports on network management as understood from interviews, focus groups and documentary review.

The 2006 Danida review found that; “The management set up for the programme with an Advisory Board, a Steering Committee and a coordinating institution (CDSM) works well and performs an adequate follow up on project implementation at its various levels”. The team is in general agreement but has heard suggestions that it would be useful, in the context of an expanding network and a few challenges, to revisit the roles and responsibilities assigned to these structures.

While partner activities are mostly aligned, the Danida and DFID project documents and their log-frames are not central in framing partner operations. The regular steering committee meetings and the coordination systems established by CDSM serve to ensure that key commitments in the project documents are met.

Partners submit written progress reports to steering committee meetings, and also facilitate the conduct of annual independent audits. While these essentials are in place, it is possible that future donors might require more detail in planning, monitoring and reporting of results and outcomes.

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<sup>12</sup> In this context ‘partners’ means the institutions which constitute SADSEM. These academic and training institutions have in-country ‘partners’ in the security sector, and SADSEM itself has ‘partners’ in the form of donors, and also SADC structures.

## Partners

While most partners have performed the minimum essential functions, there has been some variation in quality and administrative commitment. Each partner has been receiving sufficient funds<sup>13</sup> to employ a full-time lecturer/researcher; thirty percent time for the coordinator, plus a relatively generous contribution to project expenses and administration. Not all partners have used these budget lines as originally designed, for example, in employing a full time lecturer / researcher. The absence of designated administrators by some partners has also led to added difficulties in communication.

The level of impact that the SADSEM network has on partner institutions is related to the institutional structuring of those institutions and also the motivation and influence of network coordinators. Generally, the network has contributed substantially to improved operations and professional performance of partner institutions. In addition to the finances provided to operate and run executive courses, the development and evolution of standardised course content, and certificates from Wits, have had significantly positive impacts on the standing of SADSEM partners in their own countries. The network has also been able to develop mutual support systems in providing input to each others' courses, and also acting as external examiners for each others' academic courses or dissertations.

## Secretariat

As the pioneering and primary contract holder with donors CDSM has had responsibility for playing the key leadership and management role. All partners are grateful to CDSM for undertaking this coordinating role – and accept that CDSM was the only partner with the resources and capacity to do so. There is great appreciation shown for the pioneering leadership of the network coordinator and for the administrative back-up from support staff. Some reservations about the dependence on South Africa was expressed but more strongly so by CDSM than by partners in the region. CDSM has also made various attempts to share responsibility with partners. This has been most successful in delivering of executive courses which now is done with no or very little lecturing assistance from South Africa. Efforts to give the responsibility for publishing the newsletter or organising the certificate course to other partners, but with necessary technical support from CDSM, have not succeeded.

As the network has grown so have the coordination demands upon the Secretariat increased exponentially. Variations in interpretation, approach and application by partners led to the Secretariat developing a “Standard Operating Procedures” document, which prescribes minimum requirements in management and reporting. CDSM also arranged in 2006 for all network administrators to attend a workshop on administration and the Standard Operating Procedures. Notwithstanding these interventions, there have been suggestions from some partners that the Secretariat has not been able to ensure that all partners implement the agreed standards and practises in an even manner – resulting in a perception that some partners are treated differently to others.

There is a growing recognition from partners in the network that SADSEM has grown to the level of complexity and scale of operations that it is now necessary to provide more detailed administrative systems and discipline in meeting operational and reporting requirements – a time to move from a pioneering stage to a stage in which all partners agree upon and abide by essential rules that make for an even more effective network.

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<sup>13</sup> The most recent annual allocation for each partner was ZAR528.000

As the network has matured and become busier there have been the inevitable administrative glitches and communication breakdowns. By and large, these difficulties have been well managed and essential functions have been well maintained. There is an opportunity for the Steering Committee to further develop and then adopt and endorse clear procedures and operational requirements that enable the Secretariat to operate accordingly. There is also an opportunity to revisit the possibility of sharing out some of the responsibilities for maintaining network functionality.

A number of partners and beneficiaries indicated they would like to receive more communication and materials via the Secretariat – a more active knowledge sharing role in the form of policy briefs, newsletters and website. An Advisory Board member indicated that he would be more able to support and champion the network if he received periodic updates on achievements, and also timely delivery of necessary reporting ahead of Advisory Board meetings. There is great value in these suggestions, and consideration could be given by each partner to ‘contributing’ a small portion of their budgeted administration grants towards an improved central communications capacity.

## Finance

At first glance SADSEM’s budgets may seem fairly substantial for a network that provides training and some research. Looking at it another way, it soon becomes apparent how effective and efficient SADSEM is able to be:– if an outside donor or international organisation had to run just the executive and certificate courses conducted by SADSEM, the team estimates that the cost of this would be at least double, and the long-term impact and sustainability would probably be less than half as good. SADSEM’s great value is that it is a home-grown cooperative network that, while academically independent, is well connected and trusted by the security sector.

Many SADSEM partners work in challenging academic institutional contexts where there is a high teaching load, a shortage of quality administrative support, and communications infrastructure that is not always functional. As a result, fulfilling project monitoring and reporting requirements takes more effort than may be the case in more well resourced institutions. It does happen that over and under-expenditure is noticed too late, but in the big scheme of things, the important elements are secured.

The SADSEM systems have been designed to take account of these contextual challenges – they are as simple as possible, and as accountable as is required. For example, as long as at least twenty five people attend, a flat rate is paid per executive course offered, irrespective of final costs; independent annual audits are conducted on partners’ SADSEM expenditures, and payments are withheld in the event of non-compliance. While the financial transfer systems administered through Wits are considered by some partners to be cumbersome and slow, they are solid and accountable.

SADSEM’s biggest ‘security risk’ has been its reliance on external donor funding. The core support provided by Danida - and later also by the UK through its conflict Prevention Pool -has been extremely important in enabling the network to organically develop according to its own internal dynamics and needs. While Danida and the Steering Committee have regularly noted the need to expand its donor base internal and external factors have contributed to this being less successful than all parties had hoped for. While some partners have been able to attract relatively small amounts of money for their own in-country activities, it has been left to CDSM to seek out network-wide funds. The network has not had a dedicated person with the time to play this role. The network coordinator has also been functioning as the director of CDSM along with multiple other management and teaching roles.

## Steering Committee

The primary value of the steering committee is that of knowledge sharing, strategy, and networking. As the network has grown, SC meetings have become crowded with operational and administrative issues. Frustration has been expressed by some partners that there is insufficient time allocated to discuss more substantive strategy oriented issues. Some have suggested two longer meetings per year instead of three shorter meetings.

As is the case with many peer regulated networks there can be a group tendency towards leniency or ‘appeasement’ in responding to omissions or commissions by partners with respect to deviations from accepted management procedures. While CDSM as the contracting partner does hold final responsibility in addressing management anomalies, this role can be made more consistent and easier to perform through the further development of the network’s Standard Operating Procedures.

A key challenge facing the network is how to gradually spread out management and network maintenance responsibilities among partners who have the capacity to assume these. The development of SC sub-committees is a possible step in this direction.

## The Advisory Board

The team confirms the view of the Danida 2006 Review:

“The positive personal contacts and mutual professional respect amongst members are important elements supporting SADSEM performance. It is also the perception of the review team that the Board plays an important role in promoting national and regional ownership and linkage to and between governmental stakeholders. ... *The review team believe that consideration could be given to ways of stimulating more lively discussions at Board meetings, for instance through the preparation and circulation of short discussion papers on strategic issues in advance.*”

Since the 2006 review it appears there has been some variation in attendance and participation in Advisory Board meetings, suggesting that some actions might be warranted in re-invigorating the advisory and championing role that this board can play. It has also been suggested, by an Advisory Board member, that the network could improve its communications to board members in-between meetings, and especially in preparation for meetings. It is an appropriate time for the Steering Committee to re-consider and confirm what governance roles and promotional functions – if any – they would like to see such a structure performing.

## 7 The External Environment: Needs and Opportunities

This assessment has noted a strong demand for training provided by SADSEM and an equally strong support from major stakeholders in the security sector in many SADC countries. Furthermore, it has been noted that the core activities of the programme is critically dependent of financial support from outside. This chapter seeks to identify and outline main trends in the external environment which may impact on the future direction and evolvement of the programme.

### The Security Sector and Regional Co-operation

Southern Africa has undergone profound political changes beginning with the independence of Namibia, the end of apartheid and the transition from authoritarian governance to multiparty-party democracy in most countries. This has also greatly impacted on security perceptions and internal and external security policies. There are, however, great variations in how these changes have manifested itself. In the case of South Africa after the 1994 elections it has been direct and explicit, but in most other countries it has varied depending on the stability of each country, the nature of the democratic transition and the degree of institutionalisation of its democratic governance.

The political culture of military rule has not generally been a feature of the political systems of Southern Africa, compared to many parts of the rest of Africa. One important element in explaining this may be the legacy of the liberation struggles. During often-protracted armed struggles the military dimension was generally subordinated to politics, while most revolutionary regarded themselves to a greater or lesser extent as both soldiers and civilians, thus cementing a form of revolutionary civil-military relations that was carried through into the new states. In this regard, it is interesting to note that the Southern African countries that have experienced the greatest degree of military threat to governance through attempted coups (Lesotho, Zambia and Tanzania) were those in which armed liberation struggles did not take place.<sup>14</sup>

Security sector reform has emerged on the agenda following the democratisation in Southern Africa. Still, the key drivers for security policy formulation have in most countries been ruling elites with minimal involvement of civil society organisations or parliaments.

Recent years have also seen a growing demand from security institutions, especially the defence and police, for access to training programmes. They seek training programmes that can provide specialised technical skills as well as higher education and degrees in areas related to the management of the security sector or new challenges faced by regional co-operation and peace support operations. This has also created new opportunities for private service providers as well as academic training institutions.

### SADC

At the regional level there has also been important development reflecting these changes. At the institutional and inter-governmental level SADC has become a main vehicle for pursuing multiple security objectives: in the first place through various forms and levels of co-operation including economic and trade integration, and secondly via the Protocol on Politics, Defence and Security

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<sup>14</sup> SADSEM has provided important insights into the relations between democratisation and changing security policies through a major research project which culminated with the publication of G. Cawthra et al. (eds.), *Security and Democracy in Southern Africa*, Johannesburg: Wits University Press 2007.

Cooperation. The latter makes provision for the promotion of state security, but also includes the promotion of common political values.

SADC has a long history in advocating security co-operation. It was established in 1992 as a merger of two co-operation efforts.<sup>15</sup> One was SADCC set up in 1980 to promote policy co-ordination and sometimes specific co-operative policy action, mainly linked to mobilisation of external development finance and reduction of dependence on South Africa. SADC's other foundation leg was the Frontline States. It was established in 1977 to facilitate foreign policy co-operation mainly linked to the struggle against apartheid. It was secretive, informal (there was no Treaty), and carried out almost entirely at executive level. With the formation of SADC, especially following the restructuring from 2001, there was growing institutionalisation of defence and security co-operation. This was achieved through the creation of norms, rules and regulations, and above all through the establishment of a permanent organisation to administer policy. This included the SADC Organ on Politics, Defence and Security Co-operation and its subcommittees the Inter-State Defence and Security Committee and the Inter-State Politics and Diplomacy Committee serviced by a small administrative secretariat (now a directorate) in the SADC Secretariat in Gaborone. Furthermore, there has been a small, but significant and expanding engagement with both parliamentarians and civil society. A SADC Parliamentary Forum, bringing parliamentarians from SADC member states together, has also been established. Efforts to turn the Forum into a parliamentary assembly under SADC (along the lines of e.g. the East African Assembly or the Pan-African Parliament have however, been put on hold by SADC).

The establishment of the SADC Organ allows the states of the region to pursue their security and defence interests in an organised fashion. The organisation itself may also become an autonomous actor with policy influence. Historically, SADC and its predecessors have been motivated largely by a shared regime-threat perception, prompted by the policies of the violent destabilisation of apartheid South Africa. With the new SADC there has however, been a steady move – as reflected in its vision and objectives – to embrace also a human security agenda and not just state or regime security. The focus of the SADC Organ is however largely on the traditional security sector – the military, police and intelligence – although it also engages in certain other governance issues (elections, anti-corruption). The human security issues are largely managed by other SADC structures. The real test comes when SADC is obliged to make hard choices between state and human security, for example when confronting human rights abuses in a member state.

SADC's track record in intervening in and in mediating conflicts is mixed, perhaps most dramatically illustrated when various member countries intervened militarily in DRC and Lesotho in the latter half of the 1990s. The evidence so far suggests that Southern Africa may not yet have developed sufficiently strong common values in the security area. SADC member states are divided between those pursuing a more traditionalist security approach and those inspired by a human security agenda.

Still, some mediation and “post-conflict” reconstruction successes are evident in DRC, Lesotho and perhaps Zimbabwe. Currently the workload of the SADC Organ are dominated by three issues: the establishment of a SADC standby-force for peace missions; helping to ensure free and fair election in member states; and mediation efforts in specific countries (DRC, Lesotho and Zimbabwe).

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<sup>15</sup> See more on this in Garth le Pere & Elling N. Tjønneland, *Which Way SADC? Advancing Co-operation and Integration in Southern Africa*, Midrand: Institute for Global Dialogue 2005 (*Occasional Paper 50*).

## Organ Directorate

SADC's progress has not only been hampered by differing political priorities among members, but also by a lack of human and financial resources. The SADC Organ's directorate in Gaborone which services the myriad of SADC Organ committees has a small core staff. It is headed by a Director and has some 10 persons on secondment from member countries to work on issues related to the planning and implementation of the Standby Force (planning element, early warning, etc). Those persons are however representatives of member countries working on specific issues and are as such not directly working on other Organ issues. To help with these the director is assisted by two technical advisors and two interns (mainly working on mediation in Lesotho, Zimbabwe and DRC, and on election observation). In addition the directorate has an administrative staff of two.

The Organ directorate also has two subsidiarity organisations, both located in Harare. One is the *Southern African Regional Police Chiefs Coordinating Organisation* (SARPCCO). It became fully constituted as a SADC structure in 2008. It promotes and facilitates technical co-operation between police agencies in the region and also acts as the regional office of Interpol. In addition it performs various tasks for SADC, most importantly as a technical body related to the implementation of SADC's protocol on small arms. SARPCCO is largely funded by member countries, but some of its training activities (mainly linked to peacekeeping) is externally funded. The *SADC Regional Peacekeeping Training Centre* (RPTC) is a training institution which runs regional training courses to strengthen capacity for participation in peace support missions. It was originally established with significant financial and technical support from Denmark, but with the end of external donor funding the RPTC became dormant. It has now been revived. The director and deputy director, together with two administrative staff is funded by SADC. Zimbabwe provides support staff. However, the RPTC has limited funds for training and currently only runs with a skeleton programme.

SADC and RPTC have been preparing for a major scaling up of RPTC's training programme linked to preparation for the SADC stand-by brigade.<sup>16</sup> With the new focus on multidimensional peace support missions this has implied that the RPTC will also be focusing on policing and the civilian component of peace support missions. To help facilitate this RPTC is also preparing to move out of its premises within the Zimbabwe Defence Force barracks and relocate to a civilian training centre. Training is also expected to be harmonised with SARPCCO.

The SADC Parliamentary Forum has also established a Training centre which seeks to provide (primarily regional) training course for parliamentarians in a range of areas. This included security sector issues and parliamentary oversight.

## NGOs

A number of NGOs have emerged engaging with peace and security issues in the region. They are dominated by a few South African-based organisations. In addition to CDSM/SADSEM they include Institute for Security Studies (ISS), Accord, the Centre for Conflict Resolution and to a lesser extent SaferAfrica (now collapsed) and Pax Africa. ISS' primary achievements in relation to SADC processes have been in the area of small arms and training of the police (working in both cases mainly with SARPCCO) and generally as a think-tank with a major research output and as a supplier of workshops on security issues. They have also signed a MoU with the SADC Parliamentary Forum and have delivered one training course for them. CCR's main contribution has

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<sup>16</sup> See also *SADC RPTC - Vision for the Future. Final Report of An Independent Study Commissioned by the Directorate of the SADC Organ on Politics, Defence and Security Cooperation on the vision of the Regional Peacekeeping Training Centre, 2 May 2008* (Gaborone: SADC 2008).

been in organising a series of high-level workshops and dialogues on peace and security issues in the region while Accord's main contribution lies in the area of the civilian dimension of peace keeping (including providing training through the RPTC).

In comparison, CDSM's main contribution lies in its regional network with in-country partners, the training and academic degree-programmes and less as a think-tank. It also has much stronger relations with defence establishments. SADSEM also has a MoU with the Parliamentary Forum (but has not delivered any training under it) as well as a Memorandum of Agreement with the Organ directorate (from January 2009).

## External Funding: Trends and Donor Policies

There has been strong and growing financial support from external donor agencies to peace and security activities in Southern Africa. This has focused on several issues but governance, small arms and peace support operations have been prominent. There has been a strong interest in supporting activities here through regional programmes. There are several notable trends.<sup>17</sup>

### Funding through SADC

A *first* observation is that the level of donor-funding allocated to or through SADC and the Organ directorate in Gaborone remains very small. It is mainly provided by Germany through GTZ (which provides funding for technical advisors in the Secretariat and for some project support). UNDP provided some funding for election observation in Zimbabwe. The Organ has also accessed funding from the AU provided by the EU peace facility. In addition there has been some support, including technical and logistical, related to the stand-by force. This has included support from the French programme *Reinforcement of African Peacekeeping Capabilities* (RECAMP). Some funding for training activities by SARPCCO and the RPTC has been provided by donors through ISS and Accord.

The reasons for the small amount of funding going through SADC has mainly to do with SADC's reluctance to accept such funding in this area as well as limited ability to absorb such support. The SADC Organ has been ambivalent in their position regarding external funding. The Frontline States and the Inter-State Defence and Security Committee (the predecessors to the Organ) have always managed without foreign funding (although there are some significant exemptions such as the establishment of the RPTC). The reluctance to engage with external donors has remained a feature of the Organ's approach to external funding. There are also divergent opinions among member states. However, there is now a clear recognition that the SADC Organ needs to engage with donor agencies and to secure additional funding to facilitate implementation of its strategic plan and the Organ agenda. It has been decided that a thematic group bringing donors and the Organ directorate together shall be established in a similar way as the donors and SADC are cooperating in other directorates. The SADC Secretariat has approached Austria and requested it to take the role as the lead donor agency. Austria has responded positively to the request and is prepared to provide the necessary resources to make it work.<sup>18</sup> No date has however yet been set for its launch.

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<sup>17</sup> A further presentation of discussion of these trends is provided in Elling N. Tjønneland, *From Aid Effectiveness to Poverty Reduction. Is foreign donor support to SADC improving?* (Gaborone: Botswana Institute for Development Policy Analysis 2008, *Foprisa Research Report no 4*).

<sup>18</sup> See also the report from policy advisory group on security and development co-hosted by SADC, Austria and the Centre for Conflict Resolution in Cape Town: *Security and Development in Southern Africa, Policy Advisory Group Seminar Report, Johannesburg, 8-10 June 2008* (Cape Town: Centre for Conflict Resolution 2008).

Partly as a result of the absence of a thematic group and other formal structures to engage with the SADC Organ on programme and project funding several donors have met informally to exchange information and discuss challenges and opportunities. Donors active in the governance/human rights area have met over the last few years (this has included traditional donors as well as new and special purpose agencies such as the Open Society). Donor countries active in the peace and security have also met (in Cape Town and Pretoria) over the past year. The peace and security group has included representatives not only from donor agencies but also officials representing foreign policy interests and military interests (defence attaches) of the donor country.

A *second* observation is that donors generally have much funding available for SADC and intergovernmental organisations, but they are currently unable to disperse it.

A *third* observation is that it may be more difficult to ensure aid effectiveness in external funding to the peace and security sector compared to other thematic areas. Funding in the defence and security area is much more interwoven with foreign and defence policy interests of the donor country compared to other areas. The more extreme cases may be the US with its African Command and the French with its RECAMP programme.

### South Africa as Strategic Partner

A *fourth* observation is that many donor countries increasingly emphasise the role of South Africa as a strategic partner. This has led many to provide funding to South African institutions to work in Africa. Some have also developed the concept of trilateral cooperation between South Africa and a third country. This has gained momentum following the decision by many donor agencies to scale down support to domestic activities inside South Africa. Instead more funding is becoming available for projects and programmes to work with South Africa in the region and beyond.<sup>19</sup>

A *fifth* observation is that donors also provide significant funding for governance and security in other countries through country-programmes. In the security area this is most strongly evident in the DRC, including the peacekeeping operation there, but it has also been manifest in support for in-country training programme (such as the UK's support to SANDF training). Zimbabwe may emerge as a country which may receive much support related to reform of the security sector and its governance.

### NGOs and Civil Society

A *final* observation is that donor funding to civil society organisations in the peace and security sector is significant compared to the funding going to SADC institutions. Donors have turned to civil society, or more particularly to a few NGOs, in search of service providers when SADC fails to deliver. Furthermore, NGO can also be helpful in pushing certain agendas and issues prioritized by the donor. And the NGOs are an important source of information for embassies and agencies keen to monitor developments. Finally, support is provided as a means to support democratisation through a strengthening of civil society.<sup>20</sup>

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<sup>19</sup> See more on this in Elling N. Tjønneland & Pundy Pillay, *An Evaluation of Donor Management of Aid Transformation in South Africa*: Stockholm: Sida 2008 (report commissioned by Sida on behalf of a donor consortium comprising the Scandinavian countries and the Netherlands).

<sup>20</sup> Cf. Elling N. Tjønneland & Nobi Dube, *Aid Effectiveness: Trends and Impacts of Changing Policies and Shifting Financial Flows to Civil Society Organisations in Southern Africa*, Midrand: Southern Africa Trust 2007.

The main beneficiaries of this have been a handful of South African-based NGOs. It has created many opportunities for NGOs eager to expand and with the ability to manage and expand relations with embassies and donor agencies.

## Implications for SADSEM

There are several implications for SADSEM of these evolving and changing trends in the external environment.

*First*, it must be noted that there is strong and growing demand for the type of training and activities provided by SADSEM. This demand is evident both at the country and regional level.

*Second*, SADSEM's comparative advantage and niche is its network of country-based partners. This has helped ensure ownership by security sector stakeholders and support from key actors. This includes SADC institutions as indicated by the signing of the recent MoA with the SADC Organ's Directorate on Politics, Defence and Security Co-operation. Furthermore, SADSEM's base at tertiary institutions has enabled it to provide both accredited courses, educational programmes and helped ensure independence and critical reflections and research.

*Thirdly*, SADSEM will require external financial support to run with its training programmes and activities. Financial resources are available in this area, but in order to tap into such funds SADSEM must do two things. It must be mindful of other and emerging service providers in this area, remain focused, concentrate where it can have the greatest impact and avoid unnecessary duplication and competition. And above all: SADSEM must develop the capacity to manage and expand relations with embassies and donors – in South Africa as well as in other SADC countries.

## 8 Conclusions and Recommendations

SADSEM has been a pioneering and innovative attempt to promote democratic management of the security sector in Southern Africa. The team's review of outputs of the programme and its interviews with nearly 150 individuals in 9 SADC countries and data from the tracer study reveals major achievements. It also confirms a strong high-level support from the security sector throughout the region, particularly from defence institutions. Still, SADSEM faces a number of challenges in sustaining its programme, especially related to management and future funding.

This concluding chapter summarises the team's main findings and assessments and provides recommendations for the future.

### Achievements and Impacts

SADSEM operates within a diverse and complex regional milieu. The team is not aware of any other active networks in the region that have managed as successfully to embrace the challenges of functioning across diverse political, institutional, cultural, language and geographical contexts. The gradual establishment of SADSEM over the past ten years is testimony to individual leaders seizing an historical window of opportunity, and being astute and careful in nurturing interpersonal, organisational and political possibilities.

The positive impact created through the network's leadership has emerged from their intimate knowledge of, and sensitivity to, needs, practises and nuances within the security sector in each member country, and in the region as a whole. While the impact and influence of these relationships appear at times to be significant, it is not possible in this assessment to test or verify these assertions. These 'communities of practice' are in the early stages of becoming more formal and institutionalized and are thus vulnerable to changes in leadership and the political fortunes of government counterparts. There is a strong indication that it is these relationships of trust that have enabled the high-level in-country endorsement of the training courses run by SADSEM partners.

### Training

The training programme is dominated by over 90 executive courses and 9 regional certificate courses held since 2000. Over 3500 people from all 15 SADC countries have attended these courses. SADSEM's executive and certificate courses appear to be highly successful and enjoy a solid reputation among security sector stakeholders in Southern Africa. This has led to strong demand from security agencies for SADSEM to deliver training (including accredited courses, such as diplomas and degrees). By all accounts, this demand for training far outstrips the available supply.

Most SADSEM partner institutions have established close links or formalised arrangements with the Ministry of Defence and the associated military training institutions, and with some variations with other security institutions. SADSEM has an MoU with the SADC Parliamentary Forum and has recently signed an MoA with the SADC Organ's directorate on politics, defence and security co-operation.

SADSEM's two main achievements in training can perhaps best be summarised as on the one hand its success in building in-country capacity to deliver such training courses, and on the other its pioneering efforts to open space for debates on national and regional security policies by bringing

security institutions together, and by bringing security institutions together with civilians. These efforts cannot easily be measured or quantified, but there appears to be a unanimous view that SADSEM's training programmes are highly valued and appreciated.

By all accounts, SADSEM's training activities – i.e. executive and certificate courses – have had a positive impact in SADC. The responses from questionnaires and interviews were fairly unanimous that the courses have helped strengthen the knowledge and competence of participants. There is also anecdotal evidence that in many instances, participation in SADSEM courses (especially the certificate courses) has helped the careers of individuals in security institutions. There is a generally a strong trend, especially in defence, to encourage individuals to participate in SADSEM courses. In several countries the Defence Ministry or the Defence Force sponsor the courses in different ways, or even request SADSEM to deliver tailor made courses for senior staff.

It is suggested by SADSEM partners that it is because of the relationships of trust and the high-level endorsement that the courses have been able to introduce information and discussions that have contributed to important shifts in national policies and practices. It is reported that courses run by outside organisations may be professionally organised and have relevant content, but the process and outcomes of these workshops and courses do not have the same depth and impact.

The neutral and trusted space provided for inter-sectoral dialogue in courses run by SADSEM partners are reported by all respondents as being at least as important as the course content. Multiple anecdotes were related by those interviewed that executive in-country courses were unprecedented in being able to promote inter-sectoral dialogue and shared conceptual advances on roles and responsibilities of all stakeholders in promoting national and regional security. These processes are reported as having had a positive effect in nurturing the implementation of initiatives in developing national security policies, promoting increased transparency and openness, and civilian and parliamentary oversight of the security sector.

## Education and Research

This area has constituted an important focus in the work and outputs of SADSEM. It derives its logic from the fact that policy choices, institutional management and professional practice should be informed by sound research and analysis in SADC's complex defence and security environment. The effective use of research, education and capacity building initiatives have the potential to improve public policy decisions, to develop bases of good empirical knowledge, and influence changes in defence and security policy, practices and behaviour.

The outputs in this area have been impressive. The publications list is long and there has been a remarkable growth in education programmes and student enrolment over the past couple of years. This is even more impressive considering the limited funding for this in SADSEM's budget.

SADSEM's most important achievement in this area lies in a series of diploma and masters programmes in security studies. Several partners have launched such programmes or are in the process of doing so. The programmes have been hugely popular and oversubscribed. These programmes will produce a steady stream of postgraduate and security-literate officials in the years to come.

The research output has been impressive but uneven with a few scholars producing most of the outputs and some partners producing very little.

## Challenges

SADSEM faces a number of critical challenges. The *first* and most immediate is the funding situation. Danida has provided generous core funding which has been critical in enabling the network to engage in an extended pioneering stage of organisational development. The core funding has enabled a flexible needs-driven approach to deploying funding in uncomplicated yet accountable ways. This funding is now coming to an end. If new core network funding is not sourced within the next three to six months, SADSEM will lose opportunities and essential functionality and communities of practice that may be difficult to revive at a later stage. This is partly a result of SADSEM's own failure to promote itself. While SADSEM's own successes have promoted the network amongst its immediate stakeholders, SADSEM has not had the resources and/or not made it a priority to promote itself more broadly amongst potentially important stakeholders. This limited self-promotion has probably resulted in lost fund-raising opportunities.

*Secondly*, strong leadership of SADSEM is required at this critical juncture. The pioneer, guiding light and inspirational force behind the conceptualisation and evolution of SADSEM, Professor Gavin Cawthra, stepped down from his position in early 2009 (but continues as the Chair of Defence and Security Management). An appointment of his successor is urgently required.

*Thirdly*, SADSEM will have to revisit its operational arrangements and revisit roles, responsibilities and procedures. SADSEM has grown to the level of complexity and scale of operations that it is now necessary to provide more detailed administrative systems and discipline in meeting operational and reporting requirements. The network has so far functioned within the parameters of good governance. The flexibility or relative informality which characterised SADSEM in the pioneering days was also important in building SADSEM and the relations of trust it has with high-level stakeholders. But as the network has grown and activities expanded the co-ordination demands upon the Secretariat has grown exponentially. Future donors may also require more detail in planning, reporting and monitoring of results and outcomes.

*Fourthly*, in planning its future programme of activities the network needs to be mindful of the need to match its ambitions with available resources – human and financial. In an environment characterised by growing demand for SADSEM's services as well as increasing competition from other service providers SADSEM must ensure that it maintains its scholarly independence, its focus, and continues to build on its comparative advantages as a home grown programme where activities are delivered and implemented by in-country partners. It is important that SADSEM puts efforts into delivering projects and activities linked to its recently signed MoA with SADC as well as to further develop its capacity to strengthen the network and its partners' capacity to do applied research and to disseminate research findings to stakeholders.

## Recommendations

SADSEM finds itself at a critical juncture. SADSEM is facing a period of change and uncertainty with respect to finances and leadership. While such change does pose a threat, the team is convinced that – with a combined effort from network coordinators - both the finances and necessary leadership can be mobilised to carry the network forward. It is an opportune moment for all SADSEM coordinators to re-think how network structures and operations might be adjusted to enable operations under new conditions.

The team concludes with the following recommendations:

- Network coordinators in each country could strengthen the case for mobilising donor funding by obtaining letters of support for SADSEM from as high up in their government hierarchies as possible;
- Once-off funds are raised to enable network coordinators to meet for at least two to three days for strategic planning and a review of network operations – external professional facilitation for such a workshop would be valuable. Some issues and considerations for the workshop could include:
  - Fundraising strategy;
  - Identifying needs for changes and revision to its programmes and operations in order to maintain focus and adapt to changing environments;
  - Identifying key revisions and additions necessary to the Standard Operating Procedures so that they ensure equitable and accountable internal operations, and also meet minimum future donor requirements;
  - The role, function and operations of the Advisory Board;
  - Improving cost-effectiveness of Steering Committee meetings, especially with a view to spending more time on knowledge sharing and strategic matters and less time on operational issues;
    - The establishment of sub-committees to assist in network management and to make recommendations to the steering committee: i) fundraising and finances; ii) research; iii) communications and training
- Assuming funds become available: exploring the desirability of employing a network ‘general manager’ whose responsibilities include fundraising and donor liaison, coordination of network reporting and communications – including website and newsletter production and distribution, and targeted information sharing and promotion with Board members and other important stakeholders (including SADC, Embassies and donors);
- SADSEM needs to develop a communications and liaison strategy aimed at donor agencies in South Africa and other SADC Countries;
- All parties will benefit if SADSEM is able to maintain its database of contacts of course participants, and if SADSEM follows up by distributing regular newsletters;
- More attention should be devoted to how SADSEM could provide more direct assistance to SADC and its institutions following the recently signed MoA with the SADC Organ directorate. This will include delivery of training courses, policy research and dissemination of research findings; and
- Greater effort should be devoted to developing guidelines on how each partner could assist with contributing to SADSEM’s research output.

## Annexes



## 1. Terms of Reference

### **Southern African Defence and Security Management Network (SADEM) and Centre for Defence and Security Management (CDSM), University of the Witwatersrand**

#### **Impact evaluation and tracer study**

#### *Terms of Reference*

The vision of the Southern African Defence and Security Management network is to enhance democratic governance and the effectiveness of defence and security functions in southern Africa.

It seeks to achieve this by

- providing training and education in defence and security management, including civil-military relations, the management of multilateral security, including peace support operations, parliamentary oversight of the security sector, security sector governance, and management of public security
- building scholarly and policy capacity; and
- enhancing regional co-operation and civil society involvement through joint programmes.

The SADSEM network is guided by the following principles:

- **Its primary activities are education and training.** These are supported by a research and policy capacity.
- **It works in close partnership with its principal clients:** the governments, defence forces, security agencies and institutions of civil society in Southern African countries, while maintaining academic integrity through partner institutions with sound academic credentials.
- **It seeks to maintain good links with SADC institutions** and to work closely in support of the institutional evolution of the African Union, the New Partnership for Africa's Development and the SADC Organ on Politics, Defence and Security Cooperation.
- **It retains a critical independence with regard to its research and teaching** and adheres to the highest academic standards and values while at the same time focusing on policy-oriented teaching, applied research and developing capacity for technical support.
- **It aims to improve its overall financial sustainability** through developing co-operative arrangements with partner institutions/SADC members where there exists scope for these to take a greater share of the overall financial burden.

The project is guided by the following core values:

- national liberation, transformation, nation-building and democracy,
- supporting processes of transition to democracy in Southern Africa, and
- supporting the SADC vision of integration and collaborative security.

The network consists of ten mostly tertiary institutions in Southern Africa: Centro de Estudos Estregicos de Angola; Centre for Strategic Studies at the University of Botswana; Centre for Security Studies at Mzuzu University, Malawi; Department of Political and Administrative Studies at the University of Namibia; Centre for Defence Studies at the University of Zimbabwe; Chaire Unesco at Kinshasa University; Centre for Foreign Relations in Tanzania, Centro de Estudos Africanos at Eduardo Mondlane University, Mozambique; and the School of Humanities and Social Sciences at the University of Zambia. The network is coordinated by

the Centre for Defence and Security Management at the Graduate School of Public and Development Management, University of the Witwatersrand, which acts as secretariat as well as being a participating member in its own right.

The focus is on the new security paradigm, which emphasises democracy and accountability not merely technical proficiency, and to this end we ensure that capacity-building is made available for senior military and security personnel as well as those charged with security oversight in society, including formally (parliaments, members of portfolio committees, policy makers and so on) as well as less formally though no less crucially (mainly members of civil society organisations).

The network carries out education, training, policy support, research and capacity-building in all 14 member states of SADC, although it has an institutional presence in only 10 of them, and these 10 partners will form the institutional base for the exercise.

### **Approach**

These terms of reference are not for a standard impact assessment, nor for a standard tracer study. We have combined both of these, with a third component, namely empowering the local partners in each country with research and evaluation expertise. Crucially, this should be a forward-looking evaluation, not a summative evaluation.

The following is the key information required from the exercise:

1. An evaluation of the impact of the programme on beneficiary individuals: whether it enhanced their understanding and professionalism and benefited their careers.
2. An evaluation of the impact of the programme on the normative and policy frameworks for defence and security within the beneficiary countries.
3. An evaluation of the impact of the programme on the institutional effectiveness and efficiency of the organisations within which beneficiary individuals work.
4. An evaluation of the contribution of the programme to enhancing scholarly capacity.
5. An assessment of how the programme might evolve to enhance future impact.

In brief, what we are looking for is as follows: after gathering and analysing existing information (programme design, logframe/indicators (if available), existing research, course outlines, etc.) and an initial round of in-depth interviews with senior officials involved in the programme, the successful bidder will devise a set of critical success indicators. These will be discussed with the CDSM and if necessary the donor (DANIDA South Africa), and revised as appropriate. Since this is an evaluation, the views of the evaluator will be regarded as paramount, and the CDSM will not have the final say on the content of the evaluation.

Thereafter, one representative – with research experience – will be identified by each partner organisation. They will be trained (in South Africa) in focus group methodology as well as analysis and reporting. These partners will then return to their home countries, and recruit members for a focus group, drawn from beneficiaries of the training and other activities of the Sadsem network.

At the same time, the indicators will be turned into a set of questions for in-depth interviews, and a survey instrument. While the focus groups are taking place, a survey questionnaire will be sent (by the partner organisation) to between 500 and 1 000 respondents (two thirds military and police graduates, one third civilian graduates of the programme). These will be self-completed and returned. Finally, in-depth interviews will be conducted with senior military, political and civil society members, to focus on the impact of the courses and other activities thus far, as well as helping flesh out how the programme should change in future, for greater impact.

### **The role of the successful bidder**

The successful bidder will act as project manager for all the work done by partners. This is about empowering partners as well as evaluating the training project, and as such the bidder will have to train partners in focus group methodology, questionnaire design, analysis and reporting. The Centre will have to work very closely

with the bidder to ensure that country partners identify appropriately skilled representatives – the bidder can't train someone who knows nothing about research, and suitably qualified representatives must be identified and used.

This is an evaluation, which requires that the successful bidder passes judgement on the programme. As such, while consultation with the CDSM and DANIDA is of course critical, the evaluator, once appointed, will not be under the instruction of the CDSM.

The role of SADSEM partners is critical: it is to help with sampling, despatch/deliver questionnaires, follow-up with respondents to facilitate completion, checking accurate completion of instruments, translating/arranging translation as required, and couriering the completed surveys back to the CDSM.

Quantitative and statistical analysis will be done by the successful bidder. The partner representative will return to South Africa for a briefing session, where they will be presented with a 'top-line' report – the big findings of the survey – and then participate in a brain-storm to help identify key issues and themes that need to feature in the final report.

As noted above, the indicators will be turned into a standard in-depth interview (IDI) instrument, including closed and open-ended questions. Statistical analysis (such as factor analysis and correspondence analysis) will be carried out to allow the richness of this data to be fully realised.

### **Reporting**

A single, integrated report will be produced at the end of the project, where data from the different methodologies are reported together. Prior to that, the successful bidder will produce the following:

1. An inception report, 10 days after being awarded the contract, setting out the overall approach, methodologies, timeframes, report contents, and additional detail.
2. After 20 days, the agreed key success indicators will be finalised and circulated.
3. A progress report will be required of the successful bidder, at intervals to be agreed with the Centre and DANIDA.
4. A qualitative report, mid-way through the project, detailing findings from the focus groups and in-depth interviews.
5. 10 mini-focus group reports, to be produced by the partner organisations – but edited and quality controlled by the successful bidder.
6. A survey top-line report.
7. A draft final report for circulation to Centre, DANIDA and all partners.
8. A final evaluation report.

### **Time-frame**

This is a large project with multiple partners, and cannot be turned around quickly. Bidders must provide a detailed timeline in their tenders, and the successful bidder will be the agency that can turn the project round in 4 months or less.

### **Travel and logistics**

The travel and related costs of partners (coming to South Africa twice each, once for training in methodology, once to help brainstorm the survey report) will be arranged and paid for by SADSEM.

The successful bidder will be expected to travel to at least 6 of the 10 country partners, and ideally all of them, to oversee their focus groups, and conduct in-depth interviews in country.

The successful bidder will be responsible for their own travel and logistical arrangements. However, the Centre will play a pivotal role in managing communication with partners, and ensuring that the project rolls out smoothly in all the countries.

## 2. Inception Report

### **Inception Report SADSEM/CDSM - Impact evaluation and tracer study**

*Please note that the attachments to the inception are not included in this report*

Chr. Michelsen Institute (Norway) in cooperation with the Institute for Global Dialogue (South Africa), Chris Albertyn and Associates CC (South Africa) and the Botswana Institute for Development Policy Analysis (Botswana) have been awarded the contract to carry out a tracer study and impact evaluation of the Southern African Defence and Security Management Network.

The team (Elling N. Tjønneland, Garth le Pere, Chris Albertyn, Brendan Vickers and Kari Heggstad) has held internal meetings as well as extensive discussions with the SADSEM coordinator and CDSM Director Gavin Cawthra and the CDSM Centre Manager, Shirley Magano, and consulted available documents. Based on this the team proposes some adjustments and modifications in the Terms of Reference. These suggestions and the team's proposed work plan are contained in this inception report. The main shift of emphasis follows one main purpose of this assessment which is to provide SADSEM with an assessment of the changing external environment and how this may impact on the strategic approach and priorities of SADSEM. This includes in particular also an assessment of changing priorities and approaches of important donor agencies and how this may create opportunities and challenges for SADSEM. The team has also deemphasised the role of the tracer study. We find it not possible within the scope of this study draw a sample from the near 3500 participants in the SADSEM courses. Instead we have opted to select all those that have participated in the certificate courses and post a questionnaire to all of them.

#### **Purpose and objectives**

This evaluation will serve two broad purposes

3. *An assessment of the achievements and impact of SADSEM's activities; and*
4. *Assessing how changing external environmental factors may impact on the strategic approach and priorities of SADSEM*

Based on this seven specific objectives for this evaluation can be identified

- 1: The impact of the programme on course participants: Has it enhanced their understanding, professionalism and benefitted their careers?;
- 2: The impact of the programme on the normative and policy frameworks for defence and security within SADC countries and the SADC region: has it contributed to evolving policy debates?
- 3: The impact on the institutions where course participants work: has it contributed to improvement in the performance of the institutions?
- 4: The impact on scholarly achievement: has the educational programmes, scholarships and research activities contributed to build scholarly capacity in the region?

5: The impact of the network on partner institutions: has the network been effective and efficient in providing support to its members

6: The impact of external funding environment: what are the current plans and funding priorities for key donors providing support to peace and security in the SADC region?

7: The way forward: How may SADSEM evolve to enhance its relevance and impact and ensure sustainability? Are ambitions sufficiently matched with resources? Are the chosen focus areas the most important? Are the partner institutions sufficiently aligned in terms of what they think the strategic priorities for the network should be?

### **Methodology and data collection**

Data will be collected through a questionnaire distributed to former course participants, interviews, document reviews and self-assessments by SADSEM partners. Data from these sources will provide the team with sufficient information for analysis and enable us to address the objectives. However, there are also limitations. It will not be possible to attribute changes in e.g., policies or institutional performance to specific causes such as the SADSEM programme and activities. The relations between cause and effects are far more complex. What can be assessed however, is the quality of the SADSEM programme and outputs and how beneficiaries and other stakeholders assess the role and relevance of SADSEM. The team will further develop performance indicators (based on indicators listed in SADSEM project documents).

A further inherent limitation must also be mentioned. Data collection will be done by SADSEM partners and they will also be responsible for identifying persons to be interviewed and decide on selection and composition of focus groups. This enhances both the ownership and relevance of the evaluation, but it also makes assessments of impacts more difficult. When a significant portion of the impact assessment is done by those responsible for providing the “impact” the value of the evaluation is reduced.

### **Tracer study:**

SADSEM has through its 71 executive and 9 certificate courses provided training to over 3400 persons in all 15 SADC countries. Within the limited timeframes available for this study it will not be possible to draw a representative sample and distribute a questionnaire to all of them. We do not have sufficient data on all participants. Contact details are also missing for very many. Instead the team has opted to limit the tracer study to all participants in the annual certificate courses. Some 364 people have attended these from 2000 to 2008. Contact details and institutional affiliation are available for most of them. Most are uniformed personnel (between 20 and 30 every year out of an annual total of around 40) while a smaller group is from other government and an even smaller group from civil society and academia. Some 266 are coming from the 10 SADC countries with a SADSEM partner and 54 from the five other SADC countries (this includes only the 2000-2007 participants; we do not yet have country breakdown for the 44 participants in 2008). The questionnaire should be distributed to those countries with a SADSEM partner (they will distribute and collect the questionnaire) and – if possible – also to the remaining participants from the five other SADC countries.

This sample is expected to provide useful information of the opinion and viewpoints of these participants on the role and relevance of SADSEM in relation to their own career, to evolving policies and policy framework, to the performance of their institutions as well as views on the future evolution of SADSEM.

### **Interviews**

In each country there will be interviews with one or more smaller groups of course participants to gain a deeper understanding than what is possible through the questionnaire (focus group interviews). In addition there will be individual interviews with other stakeholders (mainly at very senior level) and informants. In a few countries there will also be interviews with representatives of embassies and donor agencies.

The team will also have interviews and discussion with members of SADSEM partners and the advisory board.

Interviews will be semi-structured based on written guidelines. This includes guides for selection and composition of focus groups.

### **Documents**

The team will examine a range of written material – from SADSEM project documents, reviews, reports and publications to related documents from others.

### **Assessment by partners**

Each SADSEM partner is expected and required to produce a short mini-report summarising impressions and findings from interviews and questionnaires, providing assessments of the role and relevance of SADSEM and provide reflections on how it can be further strengthened and improved. The team will provide guidelines for the productions of such reports (see attachment).

### **The role of SADSEM partners and the team**

Each of the SADSEM partners will be critical in data collection and through preparation of self-assessments. Each partner is required to

- distribute questionnaires to certificate course participants (which in some cases may require identifying accurate location and contact details), ensure that they to the extent possible are completed and collected, and couriering them back to CDSM;
- conduct interviews through one or more focus groups and with select individuals. The team will prepare interview guides and may be able to take part and also take the lead in some of the interviews;
- Arrange/facilitate translation in interview sessions when required;
- be available to answer questions from the team and to facilitate meetings with persons the team would like to interview;
- prepare a short mini-report based on template provided by the team; and
- appoint a person with some research experience to be responsible for arranging the above, including writing the report. He/she is expected to take part in a workshop in Johannesburg on 3 November for further training and preparations of the in-country data collection and reporting. He/she may also be required to take part in a second workshop for presentation and discussion of the team's provisional report.

The CDSM, as network co-ordinator, will have a number of additional tasks:

- distribute/collect questionnaires to course participants from the five SADC countries without a SADC partner;
- distribute questionnaire and list of participants with registered contact details to each SADSEM partner, facilitate collection of questionnaires and mini-reports from each partner and distribute them to the team;
- Organise and facilitate preparatory workshop for SADSEM partners in Johannesburg on 3 November (the team is responsible for the content, but CDSM is responsible for all travel and logistics, including costs). In a similar way CDSM will also be responsible for a possible second workshop to discuss findings;
- Facilitate translation of questionnaire and interview guides into Portuguese and French and translation of any mini-report into English (the team is responsible for covering the costs); and

- Provide the team with SADSEM documents required, arrange interviews required by the team, and in general facilitate communication and information flows between the team and SADSEM.

The specific responsibilities of the team in the implementation of this project – apart from writing the report and to be responsible for the study – include:

- Provide SADSDEM with questionnaire, guidelines for focus groups, interview guide and format for completion of mini-reports;
- Be responsible for a preparatory workshop with representatives from SADSEM partners on 3 November, and – if required – a second workshop to present preliminary findings;
- Prepare visits to each SADSEM country in co-operation with the SADSEM partner (usually only one person from the team will travel to each country). The team will be responsible for all travel arrangements to/from the country and cover all their own costs in country;
- The team will take their own notes from all meetings they attend;
- The Team will also be prepared to act as moderator in focus group interviews when and if required;
- The team will do its utmost to answer any question from SADSEM partner related to data collection and analysis.

## **Work plan, time frames and outputs**

This evaluation study has several distinct phases and outputs.

### **1: Inception and start-up (ends with workshop 3 November)**

The phase includes initial data collection (SADSEM documents, interviews with CDSM staff and donors) and the preparation of inception report, questionnaire, interview guides, format for mini-reports and related documents. Drafts and work plan will be discussed with the SADSEM steering committee in Maputo on 23 October. All documents will be finalised before 3 November.

### **2: Data collection (early November – end-January)**

The SADSEM partners will begin data collection, first with identification of persons to be interviewed and then to proceed to fix appointments for focus groups and individuals to be interviewed. Writing of mini-report begins. From around 24 November the team will begin visits to each SADSEM partner. The first week (week 48) the team will spend in South Africa. This will also include interviews with relevant donor agencies not covered in the first phase. For the other countries one member of the team will spend up to 3 full working days.

Week 49 and 50 will cover five countries (Botswana, Namibia, Mozambique, DRC and Tanzania). Timing will be further discussed with SADSEM partners in Maputo on 23 October.

The other countries (Angola, Malawi, Zambia and Zimbabwe) will be covered over a two week period in the second half of January.

Mini-reports should be finalised and submitted within one week after completion of interviews. The team will make their own notes from all meetings/interviews they attend.

### **3: Report(s)**

The dates for submitting a report will also depend on the ability of SADSEM partners to deliver mini-reports and findings from data collection. The team will begin to draft sections of the report from the second half of November. We note that SADSEM – for fund raising purposes – want an early draft. A full draft report - with findings and recommendations based on survey and interview data - can only be submitted in the first half of February (assuming all country studies have been completed).

However, if required the team can submit a provisional report during the summer break – but important sections on findings from interviews and survey data will be missing. A workshop to present findings and recommendations may be held with SADSEM partners in mid-February (alternatively there may be a workshop based on the preliminary and incomplete draft in mid-January. A final report will be submitted one week after a formal response has been received from SADSEM.

*Johannesburg*  
14 October 2008

### 3. Questionnaire

#### Evaluation of SADSEM

SADSEM has commissioned an independent study to assess the achievements and impact of the programme's activities; and to assess how changing external environmental factors may impact on SADSEM's strategic approach and priorities in the future.

We invite you to share your experience with SADSEM. You should use NO longer than 15 minutes to complete this questionnaire.

1. Gender (please tick appropriate box):	<input type="radio"/> Male	<input type="radio"/> Female
2. Country of residence (please tick appropriate box):	<input type="radio"/> Angola <input type="radio"/> Botswana <input type="radio"/> DRC <input type="radio"/> Lesotho <input type="radio"/> Madagascar <input type="radio"/> Malawi <input type="radio"/> Mauritius <input type="radio"/> Mozambique	<input type="radio"/> Namibia <input type="radio"/> Seychelles <input type="radio"/> South Africa <input type="radio"/> Swaziland <input type="radio"/> Tanzania <input type="radio"/> Zambia <input type="radio"/> Zimbabwe
3. Current professional title/designation:		
4. Please state your current age:		
5. Year of participation in the SADSEM certificate course (please tick appropriate box):	<input type="radio"/> 2000 <input type="radio"/> 2001 <input type="radio"/> 2002 <input type="radio"/> 2003 <input type="radio"/> 2004	<input type="radio"/> 2005 <input type="radio"/> 2006 <input type="radio"/> 2007 <input type="radio"/> 2008
6. Field of profession at the time of course participation (please tick appropriate box):	<input type="radio"/> Uniformed <input type="radio"/> Civil Society or Academia	<input type="radio"/> Government <input type="radio"/> Other (please specify): _____
7. Professional title/designation at the time of course participation:		
8. How were you recruited to the certificate course?	<input type="radio"/> Nominated by my work <input type="radio"/> Applied myself <input type="radio"/> Invited directly from SADSEM <input type="radio"/> Other (please specify): _____	
9. What was your main motivation to participate in the course? (Please choose as many as are applicable)	<input type="radio"/> to enhance my personal career <input type="radio"/> to enhance my scholarly capacity <input type="radio"/> to enhance capacity within my organisation <input type="radio"/> networking <input type="radio"/> other (please specify): _____	

10. Please look at the statements below and tick the box that you agree with					
The certificate course:	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
a) benefited me as an individual					
b) enhanced my understanding and knowledge of defence and security management					
c) benefited my career					
d) helped improve the performance of my organization					
e) made it easier to engage in regional collaboration on security and defence issues					
f) I have/would recommend participation in the SADSEM certificate course to others					

11. How do you think the SADSEM training programme should develop in the future?	<input type="radio"/> Keep the programme as it currently is <input type="radio"/> Expand the length of training <input type="radio"/> Expand the training programme to cover other areas <input type="radio"/> Other
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12. Please explain why you want the SADSEM programme to develop as you stated in question 11:

13. What have been the most important contributions from the certificate course and the SADSEM programme for management of defence and security matters in your country? Please give at least one example.

14. Has SADSEM helped to promote a better understanding of regional cooperation and regional security? Please give a short explanation why and in what way you think it has or has not had any effect.

**Many thanks for participating in this evaluation survey!**



## 4 List of People Interviewed

The names below are a list (by country) of all persons interviewed for this assessment. Some were interviewed in focus group sessions.

### **Angola**

Mr Jorge Cardoso, SADSEM project co-ordinator, CEEA (interviewed in Maputo)

### **Botswana**

Prof Mpho Molomo, SADSEM Programme Director, Centre for Strategic Studies (CSS)

Mr Gabriel Malebang, SADSEM Researcher-Administrator, CSS

Mrs Victoria Botshelo, CSS Secretary

Mrs Elizabeth Masire, SADC, former Deputy Commissioner of Prisons

Brigadier G. T. Morake, Commandant – Defence Command and Staff College, BDF

Prof Gervase Maipose, Head: Department of Political and Administrative Studies, UB

Mr A. Magkonatsotlhe, Permanent Secretary, Ministry of Justice, Defence and Security

Mr Kenny Kapinga, Deputy Commissioner of Police

Mr I. S. Pule, Training Coordinator, Police

Mrs M. Mosimane, Assistant Commissioner of Prisons

Brigadier Paledi, Botswana Defence Force

Ms Gladys Mokhawa, Department of Political and Administrative Studies, UB and PhD candidate, University of St Andrews, Scotland

Mr Helmut Orbon, GTZ (Peace and Security Advisor)

### *Focus groups (interviewed by CSS)*

#### 1: Civil Society

Mr Peter Tshukudu – Ditshwanelo

Mr Jafter Radibe – Botswana Federation of Trade Unions

Mr Fidelis Molao – Botswana Democratic Party (Head Quarters)

Mr Faried Van Wyk – Private Security Association of Botswana

Mr Robert Kalasi – University of Botswana (Campus Security)

Mr Olopeng Rabasimane – Master's student in military history

Ms Gladys Mokhawa – Lecturer (UB) and PhD candidate (at St. Andrews)

#### 2: Government Sector

Col. Rapula (SADC Organ on Politics Defence and Security – Planning element – seconded by BDF)

Col. Paul Mapete – BDF - Defence Command and Staff College

Major Steve Thaga – BDF

Mr Adrian Kholi – Officer Commanding, Anti-Poaching unit, Department of Wildlife and National Parks

Lt. Col. Tshweneetsile – BDF

Col. Gilbert Magare Dithupa - BDF - Defence Command and Staff College

### **DR Congo**

Ms Janine Rauch, Security Sector consultant working for both SADSEM and for IDASA in Congo

Mr Faustin Bosenge. Senior Researcher Chair UNESCO; SADSEM Coordinator; Coordinator of the NGO Centre for Research on Peace and Security in Central Africa

Prof Assindie Mungala. Emeritus Professor Chair UNESCO, project director SADSEM

Mr Guillame Mbwebe. Former SADSEM Coordinator. Now working for IDASA on the Police Reform Project

Mr Missak Kasongo. Coordinator of the NGO, Securitas Congo  
 Honorable Marie-Jeanne Kika. Member of Parliament Security Committee  
 Mr James Carnegie. Coordinator of IDASA Congo  
 Col Siphon Mnguni. South African Defence Attaché to DRC

*Focus group*

Colonel Albert Ungweyi, Director of the *Center for Strategic Studies* of the “ Centre Supérieur Militaire” (Army Staff College), former Deputy Chief of Staff of the Congolese Defence, Liaison Officer at the Ministry of Defence, former participant at Executive course  
 Colonel Ambroise Langa, Director of the Congolese Police Academy, former participant at Executive course  
 Colonel Eke Jean Michel, Director of Cooperation at the Ministry of Defence, former participant at Executive course  
 Lt-Colonel Yamba Sangiye, Director of Human Resources at the FARDC Logistical Base; former participant at Certificate course  
 Lt-Colonel Mukole, Senior Researcher at Chaire UNESCO, former participant at Executive course  
 Lieutenant Madhira Manvontama, Analyst at the Ministry of Defence, former participant at Certificate course  
 Nepa Nepa Julien, Teacher at the Police Academy, former participant at Certificate course  
 André Mbombo, Teacher at the Police Academy, former participant at Executive course  
 Ndibu Kadiebe, lecturer at University Cardinal Malula, member of civil society, former participant at Executive course  
 Attky Geoffry, former human rights activist, Adviser at the Ministry of Home Affairs, former participant at Certificate course  
 Maurice Liengo, human rights activist, member of civil society, former participant at Executive course

**Malawi**

Hon J. Chikalimba MP, Chair Parliament Defence and Security Committee  
 Mr S. Tsitsi, Director: Administration and Finance; National Intelligence Service  
 Mr G. Kainja, Assistant Commissioner of Police – Administration

Mr F. Chinsakaso, Inspector – Malawi Police Force  
 Mr J. Luhanga, Coordinator: Centre for Security Studies, University of Mzuzu  
 Mr P. Kachimera, Permanent Secretary for National Defence

*Focus Group One – Malawi Defence Force*

Brigadier-General M. Chinjala  
 Col R. Kathewera  
 Col. I.G. Maulana  
 Col C.A.D. Namangale  
 Major J.S.C. Chaika

*Focus Group Two – University of Mzuzu*

Prof L. Mhango, Vice Chancellor  
 Mr R. Mushani, Registrar  
 Ms C. Chinkwita, Assistant Registrar  
 Prof. J. Uta, Librarian  
 Mr C. Nyohende, Lecturer  
 Ms. E. Mwlenga, Dean of Students  
 Dr. D. Nyrenda, Dep Coordinator Open and Distance Learning  
 Mr D.R. Jere, Lecturer  
 Mr T. Mtawali, Research Assistant CSS  
 Mr K. Msiska, Lecturer  
 Mr J. Luhanga, Coordinator CSS

**Mozambique**

Dr João Paulo Borges Coelho, Centre for African Studies, SADSEM project director  
 Gen Paulino Macaringue, Chief of Defence  
 Col Ricardo Timbe, Ministry of Defence

*Focus Group*

João Pereira, Eduardo Mondlane University  
 Benedito Machara, Eduardo Mondlane University  
 Vera Eunicia Zambeze, Ministry of Defence  
 Brig Gen Daniel Frazão Chale, General HQ: MoD  
 Col Ramiro Ramos, Air Force Command  
 Col Ali Antonio Francisco Omar, General HQ: MoD (Human Resources)  
 Brig Antonio Ali Abudo, Medical Doctor: Army Medical Services

**Namibia**

Professor Andre du Pisani, SADSEM project director  
 Lt. Col. F. S. Siluzungila, project researcher, SADSEM  
 Mr Edward Hauanga, Director, Civilian Training Division, Ministry of Defence, SADSEM advisory board member  
 Mr Mwetufa Mupopiwa, Deputy Permanent Secretary, Ministry of Defence  
 Mr Abraham Ilonga, Head of Secretariat, Ministry of Defence

**South Africa**

Mr Jeremy Astill-Brown, Regional Conflict Advisor, UK Conflict Prevention Pool  
 Mr Gunnar Andreas Holm, Councillor (regional programmes), Norwegian Embassy  
 Ms Bhokelane Khave, Programme Officer, Danish Embassy  
 Ms Aloisia Weltgötter, Minister Councillor, Austrian Embassy

Prof Gavin Cawthra, SADSEM Network Coordinator and CDSM Director  
 Prof Anthony Van Nieuwkerk, Acting Director, CDSM  
 Ms Shirley Magano, Head of Administration, CDSM

Mr Samuel Kenneth Mnisi, Intelligence Officer, Operations, National Intelligence Agency  
 Ms Daisy Nompumelelo Tshiloane, Colonel, Responsible for gender mainstreaming, SANDF  
 Ms Rochelle Tersia Booysen, Deputy Director, Operations Policy, Defence Secretariat, Department of Defence

Lt. General, T. T. Matanzima, Joint Operations Command, South African National Defence Force  
 Mr Sagaren Naidoo, Acting Director, Defence Policy, Defence Secretariat, Department of Defence  
 Mr Sbongo Ngwenya, Assistant Director, Defence Policy, Defence Secretariat, Department of Defence

**Tanzania**

Prof Abillah Omari, SADSEM director, Centre for Foreign Relations  
 Lucy Shule, Researcher and lecturer, Centre for Foreign Relations  
 Moses Isaac, Accountant, Centre for Foreign Relations,  
 Brig Gen Ananias Mwanga, former resource person, Centre for Foreign Relations  
 Mr Simon Mapunda, Snr Assistant Commissioner of Police

*Focus Group I*

Brig Gen AA Balati  
 Col AA Kambo  
 Maj Gen George Mwashiga  
 Police Spt Gemini Mushy

*Focus Group II*

Ms D Boaz Kapaya, President's Office  
 Ms S Msangi, President's Office  
 Mr A Masele, President's Office  
 Mr S Said, CFR  
 Mr J Ponera, CFR

Ms M Emanuel, CFR  
Mr J Mjemah, Ministry of Foreign Affairs and International Cooperation

### **Zambia**

Prof Bizeck Phiri, SADSEM Coordinator, Department of History, University of Zambia  
Dr G.H.N. Haantabolo, Researcher, Parliament

#### *Focus Group – Zambia Defence Force*

Brigadier-General Emelda Chola (female – 2003 Certificate Course)  
Col Paul Chitalima, MoD (2008 Certificate Course)  
Col Justin Mwenya, Defence Services Command and Staff College (2008 Certificate Course)  
Lt. Col Jeff Kanyense, MoD Head Quarters (2007 Certificate Course)  
Mr Kenneth Banda, HR Officer, MoD (2006 Certificate Course)  
Lt Col John Banda, MoD (2006 Certificate Course)  
Lt Col Wisdon Museya, Zambia National Service (2003 Certificate Course)  
Mr Dominic Matala, Researcher MoD – provides HIV and Aids input to Executive Courses. (2003 Certificate Course)

### **Zimbabwe**

Bassie L. Bangidza, Lt. col., Director, Centre for Defence Studies (CDS), University of Zimbabwe  
Professor L. Nyagura, Vice Chancellor, University of Zimbabwe

Government Phiri, Department of Economic History (member CDS Research Board)  
Munyaradzi Nyakudya, Char, Department of History (member CDS Research Board)  
David M. Sithole, Student Affairs (member CDS Research Board)  
Tendayi Chihaka, Mathematics and Science (member CDS Research Board)

M. Chihobvu, Senior Assistant Commissioner, Zimbabwe Prisons Service  
Charity Gezi, Assistant Commissioner, Zimbabwe Prisons Service  
Elson M Muchechetere, Lt. col., Zimbabwe Defence Force

Timothy Mubawu, former MP and member Portfolio Committee on Defence and Home Affairs (MDC-M)  
Col. C. W. Makowa, former MP and Chair, Portfolio Committee on Defence and Home Affairs (ZANU-PF)

N. Florence Guzha, Regional Officer, Gweru, Women's Coalition  
Simon Hamadziripi, Regional Treasurer, Gweru, Zimbabwe Congress of Trade Unions  
Ntombiyezansi Mabunda, Regional Coordinator, Gweru Agenda  
Hope-Mary Nsangi, Senior Programme Officer, Human Rights and Development Trust of Southern Africa (HURIDETSA, formerly SAHRIT)

Colonel Gaudence Milanzi, Commandant, SADC Regional Peacekeeping Training Centre

#### **Interviewed by CDS:**

Trust Magoba, Major General, Zimbabwe Defence Force  
Lindiwe Ngwenya, Col., Director Defence Capabilities, Zimbabwe Defence Force  
Simon Badza, Lecturer and political analyst, University of Zimbabwe

#### *Focus Group, former certificate course participants*

M. Demello, Consultant, Counseling Service Unit  
E. N. Manyau, National Security Officer, President's Department  
R. Muchini, Head Officer, President's Department  
S. L. Sifelani, Civic Worker, civil society  
Supt Mishi, Nurse, Zimbabwe Prisons Service  
Rtd Maj A. Mutambudzi, Director, Ministry of Information

## 5 List of Publications (2000-2008)

The list below is an attempt to classify all publications by SADSEM and SADSEM partners in the period under review according to type of publication – books, chapters in books, articles, unpublished papers and dissertations. The list is incomplete for some SADSEM partners, particularly in relation to publications from Angola and DRC.

SADSEM through its partner in Zimbabwe launched an academic journal in 2000 – *Journal of Peace, Conflict and Military Studies* – but it ceased publication after three issues.

### Books (monographs and anthologies)

Bosenge, L.N. *La Chronique d'une chute: Analyse de l'environnement humain et des faits sociaux ayant prevalu a la fin du regime Mobutu, et a l'avenement du pouvoir de Kabila*, Kinshasa, Chaire UNESCO (JL30707-57126) 2007

Cawthra, G (ed.). *African Security Governance: Emerging Issues*. Johannesburg: Wits University Press, 2009 (forthcoming)

Cawthra, Gavin, André du Pisani & Abillah H. Omari (eds.) *Security and Democracy in Southern Africa*. Johannesburg: Wits University Press, 2007

Cawthra, G. & R. Luckham (eds.) *Governing Insecurity: Democratic Control of Military and Security Establishments in Transitional Democracies*. London: Zed Books, 2003

Cawthra, G., D. Abrahams, & R. Williams (eds.) *Ourselves to Know: Civil-Military Relations and Defence Transformation in Southern Africa*. Pretoria, Institute for Security Studies, 2003

Du Pisani, André, *NEPAD and the G8. Towards Sustainable Development*. Windhoek: Konrad Adenauer Foundation, 2007

Molomo, M. G. (ed.), *Security Challenges Facing Botswana* (in preparation)

Molomo, M. G. (ed.), *Security Sector Governance in Botswana* (in preparation)

Omari, A. H., *Cooperation for Conflict Resolution: The Rise and Decline of the Frontline States of Southern Africa, 1975-1995*, 2009 (forthcoming)

Phiri, Bizeck Jube and Godfrey H. N. Haantobolo, *Zambia's Role in the Liberation Struggle of Southern Africa against Colonial Regimes* (Forthcoming)

Van Nieuwkerk, A. & R. De Villiers (eds.) *Southern Africa 2020: Five Scenarios*. Johannesburg: Institute for Global Dialogue and Friedrich Ebert Stiftung, 2002

### Chapters in books

Africa, S., "South Africa: SSR after apartheid," in Timothy Donais (ed.) *Local Ownership and Security Sector Reform*, Münster: LIT Verlag 2008 (*Geneva Centre for the Democratic Control of Armed Forces (DCAF) Yearbook 6*)

Africa, S., "The restructuring of the intelligence services in South Africa: An assessment of the transformation process," in C. Ferguson, & O. Isima (eds.) *Providing security for people: enhancing security through police, justice and intelligence reform in Africa*. Shrivvenham: GFN –SSR, 2004.

Borges Coelho, JP, "Public Safety Dimensions of Security Cooperation in the Southern Africa Development Community", in J. M. Kaunda (ed.), *Proceedings of the 2006 FOPRISA Annual Conference*, Gaborone: Lightbooks, 2007.

- Borges Coelho, JP and Paulino Macaringue, “The role of Mozambique’s Armed Forces in a Changing Security Context”, in Peter Batchelor, Kees Kingma & Guy Lamb (org), *Demilitarisation and Peace-Building in Southern Africa. Volume III: The Role of the Military in State Formation and Nation-Building*, Hampshire, UK: Ashgate, 2004.
- Borges Coelho, JP, “Da Violência Colonial Ordenada à Ordem Pós- Colonial Violenta: Sobre um Legado das Guerras Coloniais nas Ex- Colónias Portuguesas” [From Ordered Colonial Violence to the Violent Post-Colonial Order: On the Legacy of Colonial Wars in the Portuguese Ex-Colonies], in *Lusotopie: Violences et Controle de la Violence au Bresil, en Afrique et a Goa*, Paris: Karthala, 2003.
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## Postgraduate Dissertations

### **DRC**

107 master students have graduated since Chaire UNESCO started its master programme in 2001. 2 Ph. D. students submitted their dissertations in January 2009.

### **Namibia**

#### **Supervised by André du Pisani**

6 Master of Arts (Politics) students, The University of Namibia (UNAM) and 1 PhD student.

### **South Africa**

#### **Supervised by Gavin Cawthra**

**Doctor of Philosophy**

- Africa, S., *Management of Access to Security Information in a Democratic South Africa*. Graduate School of Public and Development Management, University of the Witwatersrand.
- Fisher, L., *National Security Policy for Botswana*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Haantobolo, G., *Civil Control of the Military in Zambia*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Macaringue, P., *Mozambique and Southern African Security Co-operation*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Mwange, V., *Civil-Military Relations in Namibia 1990-2005*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Tivane, D.V., *Evaluation of Small Arms Non-Proliferation after the UN Peace Operation in Mozambique*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Van Nieuwkerk, A., *South Africa's Foreign Policy Decision-Making in African Crises 1994-2004*. Graduate School of Public and Development Management. University of the Witwatersrand.

**Masters (unless otherwise stated, in Public and Development Management)**

- Cangoma, P., *Disarmament, Demobilisation and Reintegration in three Angolan Peace Settlements*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Chaplog, S.M., *Managing Foreign Policy Decision Making With Respect to the "Two Chinas"*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Chavez-Chavez, I., *The Reintegration of Ex-Combatants in the Angolan Peace Process*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Haunga, E., *Civil-military Relations in the Namibian Ministry of Defence*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Leburu, L., *Health and Safety Policy Management in the Small and Junior Mining Sector*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Mti, L., *The South African Defence Policy Process 1994-1999*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Motumi, T., *Defence Demobilisation and Rationalisation in Southern Africa*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Msebenzi, M.Z., *The Economic Benefits of the Strategic Defence Procurement Package* (MBA project report). Graduate School of Public and Development Management. University of the Witwatersrand.
- Mwanga, A., *Civil-Military Relations in Tanzania 1990 – 2002*. Graduate School of Public and Development Management. University of the Witwatersrand (2003).
- Nyathi, S., *Policy for the Treatment of Prisoners in the Department of Correctional Services*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Nzimande, N., *Batho Pele in Practice: The National Prosecuting Authority*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Pelser, E., *The Accountability and Control Functions of the National Secretariat for Safety and Security*. Graduate School of Public and Development Management. University of the Witwatersrand.
- Sanker, A., *Institutional Implications of the Defence Force Submission to the TRC*. Graduate School of public and Development Management. University of the Witwatersrand.
- Taole, E.K., *Management Practice in Military Integration of the National Defence Force*. Graduate School of public and Development Management. University of the Witwatersrand.
- Tsebe, T. K., *South Africa's Role in the Southern African Customs Union*. Graduate School of Public and Development Management. University of the Witwatersrand.

**Supervised by Anthoni van Nieuwkerk****Master of Management in Public & Development Management (MM P & DM)**

- Khumalo, MM, *Evaluating the effectiveness of public sector training and capacity building*, Graduate School of Public and Development Management, University of the Witwatersrand, 2000.

- Dlamini, TBW, *An evaluation of work ethics in the Mpumalanga provincial government*, Graduate School of Public and Development Management, University of the Witwatersrand, 2001.
- Maaga, P, *Policy options for managing street children in Mpumalanga*, Graduate School of Public and Development Management, University of the Witwatersrand, 2003.
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- Bindenagel, A, *HIV and human security in South Africa*, Graduate School of Public and Development Management, University of the Witwatersrand, 2006.
- Cao, D, *Public policy objectives shaping tourism: from China to South Africa*, Graduate School of Public and Development Management, University of the Witwatersrand, 2006.
- Magano, S, *The role of civil society in defence policy making in post-apartheid South Africa*, Graduate School of Public and Development Management, University of the Witwatersrand, 2006.
- Sandhlane, ML, *The policy process on the Mpumalanga Provincial Library and Information Service*, Graduate School of Public and Development Management, University of the Witwatersrand, 2007.
- Musavengana, TR, *The proposed SADC Regional Parliament*, Graduate School of Public and Development Management, University of the Witwatersrand, 2007.
- Shabangu, M, *Evaluating the Mpumalanga Arts and Culture Council Act*, Graduate School of Public and Development Management, University of the Witwatersrand, 2007.
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### Tanzania

3 Ph. D. proposals developed out of CFR/SADSEM research methodology training:

- Emmanuel, M. "*The Implication of Private Security Companies on Public Safety in Tanzania 1990s-2000s*"
- Masabo, A., "*An Analysis of State Policy Autonomy in Capital Management in Tanzania*"
- Shule, L, "*Tanzania's Participation in Conflict Resolution in Rwanda and Burundi,*"

### Zimbabwe

*Dissertations: Honours*

- Mubvimba, S., "*The Dilemma of governance: Government policy on traditional authority in resettlement areas: 1980-2004: The case of Guruve*". History, History Department, University of Zimbabwe, 2005.
- Tandi, C., "*The Challenges of Reconciliation in Zimbabwe: the dichotomy between theory and practice*", 1980-2006". History, History Department, University of Zimbabwe, 2006.
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*Dissertations: Masters*

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Four Ph. D. dissertations with SADSEM financial support are in progress (registered at universities in South Africa and Zimbabwe).



## SUMMARY

SADSEM – the Southern African Defence and Security Management Network – was launched in 2000 as an attempt to enhance democratic governance and the effectiveness of defence and security functions in Southern Africa. The network partners in 10 SADC countries and activities in all 15 – has made major efforts to advance and support improved security sector governance in the region. This report is an output of an independent assessment commissioned by SADSEM through the University of the Witwatersrand.

The report concludes that SADSEM is a pioneering and innovative initiative with an impressive record of activities and outputs. The gradual establishment of SADSEM over the past ten years is testimony to individual leaders seizing an historical window of opportunity, and being astute and careful in nurturing interpersonal, organisational and political possibilities.

SADSEM's main achievements in its training programmes are its success in building in-country capacity to deliver training courses, and in its pioneering efforts to open space for debates on national and regional security policies by bringing security institutions together, and by bringing security institutions together with civilians. More than 3500 people have benefitted directly from specialised courses offered by SADSEM. Furthermore, the launch of diploma and masters courses in security studies and security sector governance in several SADC countries will produce a steady stream of postgraduate students and security-literate officials in the years to come.

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