INTRODUCTION
Predeployment Training Modules for Corrections Officers

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Introduction

A corrections system that emphasizes the principles of safe, secure and humane containment of all people detained by the courts is a major factor in ensuring peace and security in a post-conflict environment. The strengthening of the national corrections system can play a significant role in facilitating the maintenance of law and order and improving public confidence in the justice system overall. A functioning corrections system is a key component of the security framework in any community and, as such, it contributes to public safety. The corrections system protects the community by providing for the humane and secure imprisonment of offenders, deterring potential offenders and rehabilitating criminals.¹

Explicitly interlinked with other rule of law actors, such as the police, prosecutors, judges and lawyers, the corrections service operates, to a great extent, on the basis of decisions taken by these actors. For instance, the numbers and types of persons in prison or under community supervision are largely the outcome of the decisions of individual police officers, prosecutors and judges.²

In the same way that the corrections system is a key element of any effective criminal justice system, the corrections component also forms an essential part of any complex peace operation.³

The deployment of the first corrections personnel to a United Nations peacekeeping operation was in 1999 (Kosovo). As a relatively new component of peacekeeping, with a still rather modest presence, the corrections component and its personnel face a multitude of challenges, ranging from adjusting to new and different living and working conditions to addressing serious human rights violations, all of which are usually compounded by the limited nature of resources and the disengagement of national leaders.

Corrections officers selected for service in a United Nations peacekeeping operation are expected to be competent, have sound technical knowledge, be experienced and have high professional standards.

² Ibid.
In order to support corrections officers to best meet the challenges of a United Nations mission and enable them to use their expertise to fulfil the corrections support aspects of United Nations peacekeeping mandates, in accordance with the Department of Peacekeeping Operations (DPKO) guidelines and principles, there is a recognized need for predeployment training.

While DPKO provides contracted personnel with a predeployment course held in Brindisi, Italy, the responsibility for predeployment training for seconded staff rests with the sending Member States, the corrections-contributing countries.

Target Audience
Participants in this course should be serving corrections officers from countries that contribute corrections personnel to peacekeeping missions. Participants should have the knowledge and skills required by DPKO for service in United Nations missions, making them potential candidates likely to be selected for deployment when nominated by their governments.

Participants may also be officers already seconded to peace operations but lacking predeployment training specifically for corrections officers.

Aim
The aim of this course is to support the predeployment training of corrections officers who will serve in United Nations peacekeeping operations.

Training Objectives
The training objectives of this course are to prepare the participants for duties in a peacekeeping operation so that they:

- Have an understanding of the United Nations system and its activities, particularly peacekeeping, and the role that corrections officers play in this context;

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4 Member States recognize their responsibility for the training of personnel for peacekeeping operations and have asked the Secretary-General to develop training materials and establish a range of measures to assist Member States in this regard (General Assembly resolution 49/37 of 9 February 1995, paras. 47–55.
• Can fulfil corrections support aspects of United Nations peacekeeping mandates in accordance with DPKO principles and guidelines as well as international instruments, such as the *Standard Minimum Rules for the Treatment of Prisoners*;

• Can apply strategies to ensure national ownership by developing effective partnerships in field missions with national authorities, counterparts, non-governmental organizations (NGOs), civil society, other components of the mission, external partners including donors and the other entities within the United Nations system; and

• Are able to develop sustainable national capacity through capacity-building efforts, including the development of effective engagement with civil society.

**Course Content**

The course content is based on the Core Predeployment Training Materials (CPTM) and corrections-specific Specialized Training Materials (STM). The units are:

- CPTM Unit 1 – A Strategic-Level Overview of United Nations Peacekeeping
- CPTM Unit 2 – The Establishment and Functioning of United Nations Peacekeeping Operations
- CPTM Unit 3 – Effective Mandate Implementation
- CPTM Unit 4 – Standards, Values and Safety of United Nations Peacekeeping Personnel
- STM Unit 1 – Corrections Support in Peacekeeping
- STM Unit 2 – Applying International Corrections Standards in Different Legal Systems
- STM Unit 3 – Reform, Restructuring and Rebuilding, and the Core Business of United Nations Corrections Support
- STM Unit 4 – Human Rights Approach to Corrections Management
- STM Unit 5 – Cooperation and Coordination with Key Partners
- STM Unit 6 – Report Writing
- STM Unit 7 – Mentoring and Advising
- STM Unit 8 – Introduction to Project Management
- STM – Children in the Justice and Corrections System (In Development)
Introduction: Predeployment Training Modules for Corrections Officers

- STM – Mediation/Negotiation and the Use of Language Assistants, United Nations Police
- STM – Land Navigation, United Nations Police
- STM – Radio Communications, United Nations Police
- ENDEX – Desktop Exercise and “A Day in a Mission Area” (ADIMA)

Duration of Course

This course should be delivered by regional or national peacekeeping training institutes over a minimum of two weeks. Time equivalent for one week is estimated to contain the Core Predeployment Training Materials (CPTM Units 1–4), leaving one week for the corrections-specific subjects (Specialized Training Materials, STM 1–8, ENDEX, ADIMA).

Methods of Training

Based on best practices and adult learning principles, this course is guided by the following:

- Adults are autonomous and self-directed.
- Adults have accumulated a foundation of life experiences and knowledge.
- Adults are goal oriented.
- Adults are relevancy oriented.
- Adults are practical.

The training should therefore reflect the above factors and be interactive. Apart from theoretical lectures, training should include the following: small group work, presentations, plenary discussions and case studies, in addition to skill-oriented activities (i.e. practical exercises and desktop exercises aimed at ensuring participants can apply the knowledge acquired in real life). Opportunities for discussions and group work should be provided throughout the course.
It is suggested that learning institutions or regional or national peacekeeping training institutes consider the benefits and added value of having corrections-specific predeployment training in collaboration with police predeployment training.\(^5\)

**Assessment Criteria**

Assessment criteria, as learning objectives, should be based on the ability to apply knowledge rather than “reciting knowledge”. The exercises and role plays provide opportunities for evaluation. As a complement, each STM unit includes learning outcome assessment questions, and answers based on the assessment criteria, leaving it up to each training institution to decide whether these are used informally in the plenary discussions, smaller groups or a written quiz.

**Instructor Profile**

The different subjects are best presented by an instructor who has training skills and practical experience in the subject matter and its application in a mission environment, preferably combined with recent and relevant (i.e. prison, police or justice) United Nations mission experience.


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\(^5\) The proposed minimum requirement for predeployment training for United Nations corrections officers is based on the current United Nations police predeployment training and the Swedish predeployment training.
Annex A: CPTM Specifications

CPTM Unit 1 – A Strategic-Level Overview of United Nations Peacekeeping

The aim of this unit is to provide a strategic-level overview of United Nations peacekeeping by familiarizing peacekeeping personnel with:

- The main United Nations bodies involved in United Nations peacekeeping;
- The different kinds of peacekeeping activities and peacekeeping missions;
- The key principles and ideals of United Nations peacekeeping and how to put them into practice; and
- The qualities needed in United Nations peacekeeping personnel.

Part 1: Introduction to United Nations Peacekeeping

Suggested minimum time: 120 minutes

On completion of this part, participants will be able to:

- List the main bodies involved in United Nations peacekeeping;
- List five types of peace and security activities used by the Security Council; and
- Explain the main differences between traditional and multidimensional peacekeeping operations.

Part 2: Fundamental Principles of United Nations Peacekeeping

Suggested minimum time: 60 minutes

On completion of this part, participants will be able to:

- List the basic principles of United Nations peacekeeping;
- Explain what is meant by the “credibility and legitimacy of a United Nations peacekeeping mission”, and how peacekeeping personnel can support this in practice;
- Explain what national ownership means and why it is important to the success of United Nations peacekeeping; and
- List the necessary qualities of United Nations peacekeeping personnel.
CPTM Unit 2 – The Establishment and Functioning of United Nations Peacekeeping Operations

The aim of this unit is to familiarize peacekeeping personnel with the process for establishing a United Nations peacekeeping operation, the strategic-level direction of United Nations peacekeeping as provided by the Security Council and Secretary-General, and the operational-level structures of United Nations peacekeeping missions.

Specifically, this unit informs peacekeeping personnel on:

- How the Security Council establishes mandates for United Nations peacekeeping operations and monitors their work;
- How the United Nations Secretariat transforms this strategic-level guidance into operational frameworks for peacekeeping operations and the roles of different components in a mission;
- Authority, command and control in United Nations peacekeeping operations; and
- Mission management structures.

Part 1: The Establishment and Operationalization of Security Council Mandates for Peacekeeping Operations

Suggested minimum time: 120 minutes

On completion of this part, participants will be able to:

- Describe how the Security Council establishes a mandate for a United Nations peacekeeping operation and monitors its implementation;
- Explain why all peacekeeping personnel must be familiar with the mandate of their peacekeeping operation; and
- Name at least three key documents which operationalize Security Council mandates.

Part 2: How United Nations Peacekeeping Operations Function

Suggested minimum time: 60 minutes

On completion of this part, participants will be able to:

- 1. Explain the relationship between the support and substantive components of a peacekeeping operation and mandate beneficiaries;
2. List at least four main positions of authority in a United Nations peacekeeping operation; and
3. Explain the main role of the military, police and civilian components of United Nations peacekeeping operations.

CPTM Unit 3 – Effective Mandate Implementation
The aim of this unit is to provide peacekeeping personnel with general knowledge on how peacekeeping missions can implement their mandates effectively.

Part 1
Suggested minimum time: 250 minutes
Part 1 outlines the United Nations position (contained in Security Council resolutions and United Nations policy) that conflict can only be addressed effectively when peacekeeping operations ensure respect for international humanitarian law, human rights and the rights of women and children in conflict. It then provides practical tools for peacekeeping personnel to apply that knowledge in their daily work.

Part 1a: International Law Applicable to Peacekeeping Operations
On completion of Part 1a, participants will be able to:
- List the essential rules of international humanitarian law (IHL); and
- Define who is protected by international human rights law.

On completion of Part 1b, participants will be able to:
- Define human rights;
- Recognize and identify human rights violations or abuses that occur in the conflict or post-conflict mission environment;
- Discuss United Nations policies on human rights that are relevant to peacekeeping settings;
- Describe the practical relevance of human rights to their work and ways to promote and protect human rights through their tasks; and
• Explain the importance of coordinating human rights-related actions with the mission’s human rights component.

**Part 1c: The Promotion of Gender Equality in United Nations Peacekeeping Operations**

On completion of Part 1c, participants will be able to:

• Explain the different impacts of conflict on women/girls and men/boys;
• Explain that women are both victims of conflict and key partners for peacekeeping and peacebuilding activities of United Nations peacekeeping operations; and
• Provide examples of how peacekeeping personnel can help to protect women and support gender equality in their daily work.

**Part 1d: Child Protection in United Nations Peacekeeping Operations**

On completion of Part 1d, participants will be able to:

• Provide the definition of a “child” in international law;
• Explain how international law protects children affected by armed conflict;
• Describe the impact of violent conflict on children; and
• Explain what peacekeepers can do to promote child protection and children’s rights in armed conflict.

**Part 2: Working with Mission Partners**

Suggested minimum time: 60 minutes

Part 2 familiarizes peacekeeping personnel with the key partners with whom they must engage to implement their mandate effectively and ensure that peacebuilding continues even after the peacekeeping operation has been withdrawn.

On completion of this part, participants will be able to:

• Explain the benefits of an integrated approach between a peacekeeping operation and United Nations Country Team;
• Explain why national actors are key partners for United Nations peacekeeping operations;
• List the three humanitarian principles; and
• Explain the role of a United Nations peacekeeping operation in the delivery of humanitarian assistance.

CPTM Unit 4 – Standards, Values and Safety of United Nations Peacekeeping Personnel

Unit 4 focuses on the responsibilities and obligations of individual peacekeepers in relation to their service in a United Nations peacekeeping operation. It aims to familiarize United Nations peacekeeping personnel with the United Nations rules, core values and standards on conduct and discipline, respect for diversity, HIV/AIDS and all aspects of safety and security.

Part 1: Conduct and Discipline

Suggested minimum time: 205 minutes

On completion of this part, participants will be able to:

• List the three key principles governing the conduct of peacekeeping personnel;
• Describe what constitutes misconduct with reference to serious misconduct and misconduct;
• Describe what constitutes sexual exploitation and abuse, with reference to the uniform standards that peacekeeping personnel are expected to uphold;
• Outline the consequences of misconduct – particularly sexual exploitation and abuse – for peacekeeping personnel, the host population and the mission; and
• Outline DPKO’s three-pronged approach to addressing sexual exploitation and abuse.

Part 2: HIV/AIDS in Peacekeeping Operations

Suggested minimum time: 80 minutes

On completion of this part, participants will be able to:

• Explain how HIV is transmitted;
• List the ABCs of prevention of HIV/AIDS;
• Describe how to use a condom properly; and
• Explain whether it is possible to tell if a person is infected with the HIV virus from their appearance.

Part 3: Respect for Diversity in United Nations Peacekeeping

Suggested minimum time: 120 minutes

On completion of this part, participants will be able to:

• Explain what is meant by “diversity” and “culture”;
• Describe how cultural differences and diversity might be evident in the mission environment and in the host country;
• Describe what is involved in respecting diversity in relation to working effectively in a multicultural peacekeeping environment;
• Describe strategies for effective communication.

Part 4: Safety and Security

Minimum time: to be determined by the instructor

On completion of this part, participants will:

• Be familiar with the United Nations Security Management System, including the United Nations security phases system (Minimum Operating Security Standards ‘MOSS’);
• Be familiar with the procedures for security clearance for travel to a United Nations mission;
• Be able to complete the Basic and Advanced Security in the Field (B/ASITF) online course (required for civilians and individually deployed military and police officers, and recommended for contingent and Formed Police Unit commanders);
• Be able to list the four basic United Nations rules of road safety;
• Know that peacekeeping personnel require a United Nations driver’s permit in order to drive a United Nations vehicle, and know how to obtain a United Nations driver’s permit;
• Be familiar with appropriate personal and food hygiene measures and personal behaviours that can protect their health while in mission;
• Be familiar with, and have completed, all required and recommended vaccinations for their mission; and
• Be familiar with, and have received, any required prophylaxis for their mission deployment.
Annex B: STM Specifications

STM Unit 1 – Corrections Support in Peacekeeping
Suggested minimum time: 105 minutes
STM Unit 1 builds on an understanding and prior knowledge of CPTM Unit 1, Unit 2 and Unit 3.

Aim
To give an introduction to corrections support, its role and objectives in peacekeeping, within the United Nations framework.

Learning Outcomes
On completion of this unit, participants will be able to:

- Outline the basic objectives of corrections support in peacekeeping operations;
- Give a brief history of corrections support in peacekeeping;
- Have knowledge of corrections affairs within the United Nations framework (presences and positioning at United Nations Headquarters and in United Nations missions);
- Understand Security Council resolutions that include corrections support activities.

STM Unit 2 – Applying International Corrections Standards in Different Legal Systems
Suggested minimum time: 60 minutes

Aim
To provide participants with an understanding of:

- The different types of legal systems they may encounter in mission areas;
- The uniqueness of every legal system and of national legislation;
- The need to base the United Nations rule of law assistance on the specific legal system and relevant legislation of the host country; and
• The global application of international standards concerning corrections work, which are common to the host country and the countries of origin of all United Nations corrections officers.

**Learning Outcomes**

On completion of this unit, participants will be able to:

• Identify the key characteristics of the most common types of legal systems, i.e. common law, civil law, Islamic law and customary/informal justice;
• Explain why every legal system is unique;
• Explain why it is necessary for United Nations corrections officers to have a basic understanding of the host country’s legal system and relevant legislation; and
• Explain why it is fundamental for United Nations corrections officers to know and apply international standards concerning corrections work.

**STM Unit 3 – Reform, Restructuring and Rebuilding, and the Core Business of Corrections Support**

Suggested minimum time: 70 minutes

**Aim**

To provide participants with:

• A clear understanding of the basic concepts and strategies of reform, restructuring and rebuilding correctional services and the role of corrections support in this process;
• An understanding of the core tasks and activities of corrections officers in a United Nations mission, along with the challenges.

**Learning Outcomes**

On completion of this unit, participants will be able to:

• Understand the basic concept of Reform, Restructuring and Rebuilding (RR&R) correctional services in post-conflict countries;
• Understand the role of the corrections support component in support of the RR&R process;
• Have an awareness of the conditions and challenges corrections officers might face within the corrections system of a post-conflict country;
• Recognize tasks and responsibilities of a corrections officer (at the tactical level).

**STM Unit 4 – Human Rights Approach to Corrections Management**

Suggested minimum time: 6–8 hours

**Aim**

To give participants knowledge of international human rights standards and the human rights perspective with regards to corrections management and its constant and paramount presence in any United Nations peacekeeping operation.

**Learning Outcomes**

On completion of this unit, participants will be able to:

**Part 1**

• Explain what is meant by the term human rights;
• List basic human rights;
• Describe the fundamental principle outlined in the Universal Declaration of Human Rights (1948);
• List four instruments that apply to human rights of people held in detention;

**Part 2**

• List why human rights is important in peacekeeping;
• Describe the role of a United Nations corrections officer with regard to human rights;
• Describe the role of the corrections system;
• List the main areas related to detention/imprisonment under which human rights can be clustered.

**STM Unit 5 – Cooperation and Coordination with Key Partners**

Suggested minimum time: 90 minutes
Aim
To provide participants with a working knowledge of the role and relationship of relevant partners in order for good coordination and responsible resource allocation.

Learning Outcomes
On completion of this unit, participants will be able to:
- Understand the meaning of local ownership and its importance for the success of any mission;
- Promote the need for investments in corrections, especially in post-conflict countries;
- Identify and engage relevant partners (national and international), within the mission and external to the mission;
- Understand the role of monitoring entities.

STM Unit 6 – Report Writing
Suggested minimum time: 90 minutes

Aim
To familiarize participants with the United Nations reporting structure and the types of reports, formats and content required in a typical mission, and to provide an overview and expectations of basic report writing guidelines.

Learning Outcomes
On completion of this unit, participants should:
- Understand the typical reporting relationships within the United Nations and United Nations missions;
- Understand the value of report writing in the larger mission context;
- Understand the types of reports required in a typical mission and their respective components;
- Understand how to write a report following the basic writing guidelines;
- Be able to explain why reports are necessary;
- Be able to explain when reports are written;
• Be able to draft applicable reports required in the mission, following the basic writing guidelines.

STM Unit 7 – Mentoring and Advising
Suggested minimum time: 90 minutes

Aim
To provide participants with a clear understanding of the basic concepts and strategies of mentoring and advising in support of the re-establishment of a humane and secure corrections system.

Learning Outcomes
On completion of this unit, participants will be able to:

• Understand the concepts of mentoring and advising;
• Understand the role of mentoring and advising in supporting the process of reform, restructuring and rebuilding a corrections system;
• Outline the objectives of mentoring and advising in a peacekeeping context;
• Identify the skills needed for mentoring and advising;
• Demonstrate the ability to mentor and/or advise in various mission situations.

At the end of this unit, participants should understand the overall process of mentoring and advising corrections personnel and agencies in a post-conflict environment.

STM Unit 8 – Introduction to Project Management
Suggested minimum time: 120 minutes

Aim
To provide participants with an introduction to the fundamental components and basic terminology of project management.
The session will also describe the characteristics of successful projects and provide practical advice on creating a simple yet useable project management plan, in order to more effectively support national counterparts in re-establishing and strengthening their corrections system in accordance with applicable human rights standards.

**Learning Outcomes**

On completion of this unit, participants will be able to:

- Understand the definition of a project and the function of a project manager in the field;
- Review the basic principles and fundamental characteristics of project management needed by corrections officials;
- Identify and prioritize project needs in the field while considering competing expectations, available resources, national initiatives and international mandates;
- Identify stakeholders and partnerships to support a project;
- Understand how to apply a simple programme management framework using various tool kits (checklists, needs assessments, gap analysis) pertaining to human rights in their particular prison environment; and
- Assess ongoing compliance with project targets and overall success of project objectives.

**STM – Children in the Justice and Corrections System (In Development)**

**STM – Mediation/Negotiation and the Use of Language Assistants (police material)**

Suggested minimum time: 45 minutes

**Aim**

The aim of this module is to enable participants to mediate and negotiate on a daily basis in the complexity of a peacekeeping operation and work with language assistants.

**Learning Outcomes**

On the completion of this module, participants will be able to:
• Define communication, mediation and negotiation;
• Identify the three principles of negotiation and mediation;
• Identify the phases of a mediation and negotiation process, and list some of the required action within the phases;
• Describe the preparation steps when working with language assistants; and
• Apply mediation/negotiation skills including the use of a language assistant in an exercise.

**STM – Land Navigation (police material)**

Suggested minimum time: 30 minutes

**Aim**

The aim of this module is to give the participants the necessary tools to identify coordinates in a map and be able to use Global Positioning System (GPS) / Compass.

**Learning Outcomes**

On completion of this module, participants will be able to:

• Interpret the information on a map and be able to read a map;
• Demonstrate the use of different grid reference systems and be able to establish coordinates and grid references;
• Explain the main principles of using a compass; and
• Explain the main principles of using GPS.

**STM – Radio Communications (police material)**

Suggested minimum time: 45 minutes

**Aim**

The aim of this module is to enhance the general knowledge of radio communications through the use of appropriate radio procedures, procedure words and the International Phonetic Alphabet.
Learning Outcomes
On completion of this module, participants will be able to:

- Define communication;
- List the different parts of a hand radio;
- Apply procedure words and use the international phonetic alphabet; and
- Use appropriate radio procedures.

End Exercises (ENDEX)

Desktop Exercise
Suggested minimum time: 4 x 60 minutes

Aim
This exercise is aimed at getting participants to use all the knowledge gained during the course in order to solve problems they might face in a peacekeeping operation, focusing on communications and negotiation skills.

Participants will engage in a desktop exercise which is monitored and evaluated by instructors. While this exercise lends itself to practising all lessons of the course, it specifically focuses on advisory/mentoring and negotiation skills, personal security awareness, cultural awareness and code of conduct.

Objectives
Participants will:

- Practise radio communication in near-mission circumstances;
- Practise cooperation and coordination with local counterparts as well as field partners;
- Apply knowledge of mandates and international standards in a mission setting; and
- Practise map reading.
“ADIMA” – A Day in a Mission Area

Suggested minimum time: 24 hours

Aim

- To provide the participants realistic scenarios in a mission-like environment, allowing them to place all the knowledge gained during the course in context and solve various tasks in accordance with the mandate of the mission.
- To provide a setting in which the participants have the opportunity to practise the vital skills of communication and coordination and negotiation with various in-theatre partners.

ADIMA can be conducted over a 24-hour period, reflecting a mission environment with many of its components and a fictitious mandate. During the exercise the students are dispatched to a number of stations as United Nations personnel. In order to complete the assignment, students must utilize what they have learned in terms of map reading, United Nations radio communication and voice procedure, communication and negotiation skills, code of conduct, personal security awareness including mine awareness, human rights approach to corrections management, cultural awareness, in collaboration with the fictitious mandate provided them.

Objectives

Participants will:

- Practise radio communication in near-mission circumstances;
- Practise cooperation and coordination with local counterparts as well as field partners;
- Apply knowledge of mandates and international conventions in a mission-like setting; and
- Practise map reading.
# UNIT 1
Corrections Support in Peacekeeping

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Preparatory Notes to Instructor

Background

The main role of the United Nations is to assist national actors in ending conflict, and to help build national capacity to ensure a sustainable peace. The mandate of a United Nations peacekeeping operation is endorsed by the international community in order to bring peace and stability and to reinforce the rule of law in countries emerging from conflict.

Due to the conflict, the population in peacekeeping host countries generally has little or no confidence in the capacity of the state to provide for their individual safety and security. A functioning justice sector, of which the corrections service is a key component, not only contributes to both personal and state safety but also assists in re-establishing the confidence of the population in the capacity of the state to govern, and can positively affect reconciliation and confidence-building efforts.

The first corrections personnel deployment to a United Nations peacekeeping operation was in 1999 (Kosovo). As a relatively new component of peacekeeping, and with a still rather modest presence, the corrections component and its personnel face a multitude of challenges, ranging from adjusting to new and different living and working conditions, to addressing serious human rights violations, all of which can be compounded by a lack of resources and engagement by national leadership.

The corrections component of a peacekeeping operation is an essential element of a mission’s overall rule of law strategy, and has the potential to have a significant influence on the freedoms, liberties and rights of individuals. Without the capacity to provide treatment to prisoners in accordance with human rights norms and standards, the results of investments in the police and the judiciary will be limited.

It is important to ensure that special attention is given to vulnerable persons, especially children, and to ensure that relevant provisions of the Convention on the Rights of the Child (CRC) and other international legal instruments related to child protection are reflected in our overall work on prison support.
Aim

To provide participants with an introduction to prison support and its role and objectives in peacekeeping within the United Nations framework.

Learning Outcomes

On completion of the Corrections Support in Peacekeeping module, participants will be able to:

- Outline the basic objectives of corrections support in peacekeeping operations;
- Give a brief history of corrections support in peacekeeping;
- Have knowledge of corrections affairs within the United Nations framework (presences and positioning at United Nations Headquarters and in United Nations missions);
- Understand Security Council resolutions that include corrections support activities.

Training Sequence

The material contained in this module could be delivered over one session. The instructor can modify the duration to suit national training requirements and adapt the subject matter to reflect the comprehension level of participants.

This module should be delivered early in the course as it is a foundation module for others that follow.

Duration

The times shown below are the minimum recommended duration. Additional activities and discussions can be added as time permits.

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
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<tr>
<td>105 minutes</td>
<td>30 minutes</td>
<td>15 minutes</td>
<td>60 minutes</td>
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Methodology

This module provides an overview of the role of corrections support in peacekeeping. It is the introduction to all the other modules and should be the first of the Specialized Training Materials (STM) delivered. This module is predominantly an information session, outlining the management of corrections support in United Nations Peacekeeping Operations, and the reasons and objectives for corrections support.

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.

Structure of Session

- Why a corrections support role in peacekeeping?
- Brief history and objectives of corrections support in peacekeeping
- Criminal Law and Judicial Advisory Service (CLJAS) structure and responsibilities
- Security Council resolutions (and mandates) specific to corrections support
- Summary – corrections support in peacekeeping
- Learning outcome assessment

Please note:

- It is up to the learning institution to decide whether the learning outcome assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.

- Regarding Security Council resolutions, instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.
Unit 1: Corrections Support in Peacekeeping

Instructor Profile

This module is best presented by an instructor with United Nations mission or United Nations Headquarters experience. If there is more than one instructor, at least one should have practical experience.

Instructor Preparations

Required Readings

- Center on International Cooperation, Building on Brahimi: Peacekeeping in an era of Strategic Uncertainty (April 2009)

General Preparations

Equipment and materials:

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
Symbols Legend

-note Instructor (Background information for consideration)

- Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

- Mission Specific (A point where the session will benefit from mission-specific information)

- Example (Stories that illustrate a point or key message)

- Sample questions (A list of potential questions to pose to participants)

- Handout (Indicates a handout is provided to participants at this point)

- Film (A film that is recommended as a core part of the training or an option)

- Core Learning Activity (An activity that is strongly recommended for inclusion)

- Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

- Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed)
Session Notes

Corrections Support in Peacekeeping

Aim

- An introduction to corrections support, its role and objectives in peacekeeping, within the United Nations framework.

Learning Outcomes

On completion of this module, participants will be able to:

- Outline the basic objectives of corrections support in peacekeeping operations;
- Give a brief history of corrections support in peacekeeping;
- Have knowledge of corrections affairs within the United Nations framework (presence and positioning at United Nations Headquarters and in the missions);
- Understand Security Council resolutions that include corrections support activities.
Note to Instructor: Introduce the session by letting participants know the aims of the unit and the intended learning outcomes for the module.

<table>
<thead>
<tr>
<th>Structure of Session</th>
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<tr>
<td>• Why a corrections support role in peacekeeping?</td>
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<tr>
<td>• Brief history and objectives of corrections support in peacekeeping</td>
<td></td>
</tr>
<tr>
<td>• Criminal Law and Judicial Advisory Section (CLJAS) structure and responsibilities</td>
<td></td>
</tr>
<tr>
<td>• Security Council resolutions (and mandates) specific to corrections support</td>
<td></td>
</tr>
<tr>
<td>• Activity</td>
<td></td>
</tr>
<tr>
<td>• Summary – corrections support in peacekeeping</td>
<td></td>
</tr>
<tr>
<td>• Learning outcome assessment</td>
<td></td>
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</tbody>
</table>

Ask the participants to come up with some ideas on why corrections support is a component of peacekeeping.

Why a corrections support role in peacekeeping?

Prison support is key to an effective criminal justice system and the rule of law:

• Police
• Judiciary
• Prison/Corrections

An effective mission capacity to support national corrections systems is important in order to assist peacebuilding in certain post-conflict situations, in particular where United Nations is mandated to implement rule of law interventions.
Note to Instructor: Briefly go through the criminal justice chain. The corrections system is linked to other rule of law actors, such as police, prosecutors, judges and lawyers and they are all needed for a functioning criminal justice system.

Support to the administration of justice has always been a prominent feature of the work of the human rights components in United Nations peace operations and political missions. With the growing recognition that reforming police is not sustainable in the absence of an ineffective justice sector, support for the judiciary has become a part of recent peacekeeping missions. Regardless of how effective or responsive a police service is, or how well it meets human rights norms and standards, it is likely to lose credibility and public cooperation if other elements of the justice system, such as the judiciary and the corrections service, are not functional. In other words, without the capacity to provide humane treatment to prisoners, investments in police and the judiciary will have a limited effect.

In a democratic society, law enforcement officers, corrections officers and members of the judiciary are partners in maintaining civil order, and they play equally important roles in establishing the rule of law. A reliable and non-partisan justice system is essential for legitimacy, good governance and the respect for human rights. Moreover, perceptions of a failure of the justice system or the absence of the rule of law in a post-conflict/fragile environment can impede peacebuilding efforts. In this regard, the satisfactory functioning of the justice sector is essential to keeping and building a sustainable peace.

The issue of a rule of law capacity, which includes corrections support and the judiciary, in peacekeeping was first raised in the Brahimi Report. Since the Brahimi Report, the United Nations Security Council has recognized the importance of including the strengthening of national corrections systems in the mandates of new peacekeeping operations.

Hence corrections support in peacekeeping is vital – not only for the national corrections system but for the overall success of the mission; not only in restoring public law and order but also in re-establishing the confidence of the population in the capacity of the State to govern.
Basic Objectives of Corrections Support in Peacekeeping

- Identify (and subsequently support) what is essential to maintain peace and security.
- Lay the foundation for long-term development of a comprehensive, rehabilitative corrections system.

Note to Instructor: This slide is meant to serve as a strategic overview of the objectives of corrections support. A more comprehensive and detailed account of this will be given in STM Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of Corrections Support.

The objective of DPKO (Department of Peacekeeping Operations) corrections support activity is to contribute to the maintenance of sustainable peace and security, by providing national staff with essential support to develop and manage viable, safe, secure and humane corrections systems free of human rights violations, through the transfer of knowledge and skills.

Corrections support in peacekeeping operations is confined to that which is essential to the maintenance of peace and security. It does not seek to undertake the full range of activities that would establish a comprehensive rehabilitative corrections system but, rather, it lays the foundation for the long-term development of such a system.

The approach taken by corrections support components in the field involves a combination of strategic advisory support and on-the-job mentoring and training of national corrections officials, where sufficient personnel are deployed.

Peacekeeping corrections support programmes involve civil society, development partners, as well as bilateral and multilateral donors – all of whom are essential for successful programmes. Corrections support programmes in peacekeeping operations focus on prison security, law and order, human rights and, in some cases, humanitarian issues in corrections systems. They must pay attention to the specific needs of vulnerable groups, notably children, and the global norms relevant to children and justice.
**Brief History of Prison Support in Peacekeeping**

1999 – First corrections officers are deployed in peacekeeping mission, Kosovo and Timor-Leste (prior to 1999 the Human Rights Division monitored prison conditions).

2000 – Brahimi Report recommends a rule of law capacity including corrections support and judicial.

2003 – First corrections officer is recruited for Headquarters within the Police Division.

2004 – Corrections support unit moves from police division to Peacekeeping Best Practices Section.

2007 – In September, with the establishment of the Office of Rule of Law and Security Institutions (OROLSI), the Criminal Law and Judicial Advisory Section (CLJAS) is established.

2011 – Justice and Corrections Standing Capacity (JCSC) is established and based in Brindisi, Italy.

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**Note to Instructor:** Mention that corrections support is a recent addition to peacekeeping missions. Prior to 1999, the Human Rights Division monitored prisons and the military may have provided some security. The corrections system would have relied upon non-governmental organizations (NGOs) to provide humanitarian support. (Note that OROLSI and CLJAS will be explained in another slide.)

**Note to Instructor:** Refer back to CPTM Unit 1 (A Strategic-Level Overview of United Nations Peacekeeping) and ask when the first United Nations mission was launched. The first United Nations mission was launched in 1948, to observe and maintain ceasefire after the 1948 Arab–Israeli war.

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1 Human rights components still have a lead role in monitoring correction facilities as stated in the OHCHR/DPKO/DPA/DFS Policy on Human Rights in United Nations Peace Operations and Political Missions. See Para 105: ‘… the independent monitoring of detention facilities, prison conditions and management practices for compliance with international human rights standards shall remain the responsibility of the human rights component.’
The Brahimi Report

The *Report of the Panel on United Nations Peace Operations* is commonly called the Brahimi Report, named for the chairman of the committee which produced it, Lakhdar Brahimi.

“Lakhdar Brahimi, the Special Representative of the UN Secretary-General for Afghanistan, has long and profound experience of dealing with deep-rooted conflicts both within and between countries. […]”

“Central to Lakhdar Brahimi’s perspective on these conflicts is that they are, to a large extent, the result of either the absence, or the breakdown, of the Rule of Law. In conflict-ridden areas security, judicial and legal systems are rapidly destroyed and the collapse of the Rule of Law may be ‘both the cause and the consequence of conflict’. The best way of assisting countries thus afflicted is, he concludes, to devote as much attention as possible to building up, systematically, their institutions and structures, thereby creating a new and stronger basis for the Rule of Law” (Preface to the text of the 2002 Dag Hammarskjöld Lecture given by Mr Lakhdar Brahimi at Uppsala University on 6 November 2002).
Note to Instructor: Make a link back to CPTM Unit 1 (A Strategic-Level Overview of United Nations Peacekeeping) in order for participants to understand how prison support occurs at the various levels.

In CPTM Unit 1, this slide was presented to describe how the General Assembly, Security Council, and so on, function. In order to understand how corrections support in peacekeeping operations takes place in mission, it is important to first understand how the link is made between corrections support at the strategic level and corrections support at the operational level.

<table>
<thead>
<tr>
<th>Strategic Level</th>
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<tbody>
<tr>
<td><strong>Office of Rule of Law and Security Institutions (OROLSI)</strong></td>
</tr>
<tr>
<td><strong>Criminal Law and Judicial Advisory Service (CLJAS)</strong></td>
</tr>
<tr>
<td>Established within DPKO in 2007</td>
</tr>
<tr>
<td>United Nations lead for strengthening legal and judicial institutions where there are DPKO-led missions</td>
</tr>
<tr>
<td>Headquarters strength:</td>
</tr>
<tr>
<td>1 Chief (D1)</td>
</tr>
<tr>
<td>2 Policy Development Section</td>
</tr>
<tr>
<td>2 Administrative Support Officers</td>
</tr>
<tr>
<td>4 Judicial Officers</td>
</tr>
<tr>
<td>4 Corrections Policy Officers</td>
</tr>
</tbody>
</table>

Note to Instructor: Inform participants that the information below was taken from Role of corrections as part of a holistic approach to rule of law in peace operations, which was written as a non-paper for the first United Nations Conference on the Role of Corrections in Peace Operations, 18–19 May 2009. (The numbers are hence from May 2009.)

The Brahimi report stated, in its summary of key recommendations on other structural adjustments in DPKO, that “a new unit should be established in DPKO and staffed with the relevant expertise for the provision of advice on criminal law issues that are critical to the effective use of civilian police in United Nations peace operations”.

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2 Paragraph 233.
To ensure a coherent and comprehensive approach to various rule of law areas associated with peacekeeping, including activities related to police, justice, corrections, DDR (disarmament, demobilization and reintegration), SSR (security sector reform) and mine action at United Nations Headquarters, the Office of Rule of Law and Security Institutions (OROLSI) was established within DPKO in 2007. OROLSI includes the Criminal Law and Judicial Advisory Section (CLJAS), which in 2008 had four judicial and corrections officers each supporting all eleven peacekeeping missions with justice and corrections components.

**Strategic Level**

**CLJAS support to field missions: Mission planning**

- Partake in planning of new missions
- Guidance to corrections components in current missions
- Guidance on corrections reforms to other United Nations actors
- Developing guidance and policy material
- Recruit staff for missions

The tasks of CLJAS include: participating in the planning process for new peacekeeping operations; providing on-going guidance to existing corrections components in missions; and developing policy and guidance materials. CLJAS also recruits staff for new and on-going missions. CLJAS has, among other things, contributed the first DPKO policy directive on corrections support in United Nations peacekeeping operations, conducted a lessons-learned study on supporting national corrections systems in peacekeeping operations and produced a substantial *Prison Support Guidance Manual*.  

In 2006, DPKO was designated as the global United Nations lead entity in the area of corrections. CLJAS is currently providing expertise on corrections reforms to other United Nations departments and agencies, along with supporting corrections officers working in peacekeeping

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6 Decision No. 2006/47 of the Secretary-General (2006).
operations. In 2009, 152 international personnel (seconded by Member States) and 32 contracted personnel work as corrections officers for United Nations peacekeeping operations. There were at that time a total of 118 countries which contributed uniformed personnel to peacekeeping operations, of which 13 contributed corrections officers. In February 2012, there were approximately 45 professional and 300 government-provided corrections officers – from 23 countries – serving in nine peace operations, supported by five professional staff at Headquarters.

Note to Instructor: If available, provide participants with a list of corrections-contributing countries and current statistics.

Note to Instructor: For an update on the number of corrections officers abroad and corrections support activities taking place, visit the CLJAS webpage for a copy of the Corrections Update publication: http://www.un.org/en/peacekeeping/cljas.shtml

<table>
<thead>
<tr>
<th>Strategic Level</th>
<th>Slide 11</th>
</tr>
</thead>
<tbody>
<tr>
<td>CLJAS support to field missions: Mission staffing</td>
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<tr>
<td>• Contracted</td>
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<tr>
<td>• Seconded</td>
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<tr>
<td>• Training</td>
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</table>


Ensuring sufficient number of people with the required skills set is crucial to a mission’s success. DPKO submits specific job descriptions as an appendix to the budget submission.

Corrections officers are appointed as United Nations civilian staff members under United Nations Staff Rules and Regulations. All staff are recruited against posts authorized in the missions staffing table; on secondment from government service with the status of experts on mission; as independent consultants (through funds authorized in the budget for consultancies); or

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Recruitment is undertaken on the basis of substantive interviews, and professional references are checked. These interviews focus on determining whether the candidates have the core competencies required for corrections officers, at relevant levels of seniority and specialization in accordance with job descriptions.

**Direct Appointment Civilian Staff**
Civilian staff can be recruited on 12-month contracts, which are referred to as 100 series. These positions provide the greater potential for longer-term engagement of personnel and are usually used to fill senior positions, and positions that benefit from the stability that this recruitment process can create, such as the adviser to a senior official of the national prison service. Job descriptions and vacancy announcements are prepared by the CLJAS and a generic vacancy is posted on the UN website. United Nations international staff members recruited in missions are generally on a renewable 12-month contract.

**Secondment (Experts on Mission)**
This mechanism provides for the secondment from Member States of active corrections officers from their national services. Seconded positions are typically 12 months in duration with the possibility of extension. The process begins with the CLJAS sending a Note Verbale and relevant job descriptions to Member States. It is necessary that this is an inclusive process, as experience has shown that corrections components benefit from a broad range of international experience.

The CLJAS prepares a shortlist from the nominations provided by Member States and undertakes interviews. Member States are then notified of those selected and the conditions of deployment. Notes for Guidance, which detail conditions of employment of seconded officers, mission conditions, roles and responsibilities of these officers, are developed for missions with seconded corrections officers.

**Training**
While DPKO provides contracted personnel with a predeployment course, held in Brindisi, Italy, the responsibility for predeployment training for seconded staff rests with the sending Member States, the corrections-contributing countries.

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8 Resolution 49/37 (1995): Member States recognize their responsibility for the training of personnel for peacekeeping operations and have asked the Secretary-General to develop training materials and establish
Strategic to Operational
Security Council Resolutions

- Corrections support begins with a clear and achievable mandate. This mandate is outlined in the mission’s Security Council resolution.
- In addition to the mandate, corrections components will be further informed by: the host country’s priorities, national and international actors, United Nations system partners and lessons learned.

Note to Instructor: Explain that Security Council resolutions give components of peacekeeping missions their mandate and vary from mission to mission. The range and scope of activities can be very different and is based on many factors, such as technical assessments of the needs in the justice sector, available resources, political considerations etc. It is vital for the staff member to be aware of their responsibilities as outlined in the resolution. This should serve as a reminder of CPTM Unit 2.

The following may be considered in the framework of the implementation strategy:

- Corrections support activities within United Nations peacekeeping operations should be grounded in the provisions of any peace agreement, and the provisions of Security Council resolutions. Activity should be further informed by host country government priorities for the corrections system, consultation and collaboration with a wide range of national actors, mission components such as the human rights component and United Nations system partners, international organizations supporting corrections systems and the lessons learned from such activities in current and earlier United Nations missions and by development agencies.
- It should be borne in mind that, as such, corrections support does not seek to undertake the full range of activities that would establish a comprehensive rehabilitative corrections system but, rather, it lays the foundation for the long-term development of such a system. The

a range of measures to assist Member States in this regard General Assembly resolution 49/37 of 9 February 1995, paragraphs 47 to 55.
involvement of civil society, of development partners and of bilateral donors are, therefore, a key aspect of any peacekeeping corrections support programme.

- DPKO corrections capacity building support programmes shall be confined to addressing those elements which are essential to the maintenance of sustainable peace and security, and focus on support for short- and medium-term strengthening of national prison systems, neither duplicating nor overlapping with other programmes but working in a manner which lays an effective foundation for long-term development by the national authorities or other actors.

### Strategic to Operational

#### Example of a Security Council Resolution

- (d) to assist with the restoration and maintenance of the rule of law, public safety and public order in Haiti through the provision inter alia of operational support to the Haitian National Police and the Haitian Coast Guard, as well as with their institutional strengthening, including the re-establishment of the prisons system […]

Resolution 1542 (2004), on the slide, is from MINUSTAH (Haiti). This resolution mentions prison support explicitly.

*Note to Instructor: This would be a good place to briefly mention Chapter VI and Chapter VII of the United Nations Charter, where executive and non-executive missions are defined.*

### Core Learning Activity

The purpose of this group activity is for participants to explore United Nations resolutions / mandates and discuss how these particular resolutions determine the presence of a judicial, police and/or corrections component and influence their particular activities in the field.
This activity will be particularly interesting if participants know where they will be deployed. However, if the mission of deployment is not known, a sampling of existing missions can be used for discussion purposes.

**Pre-Reading and Research**

This can be assigned the previous day and thereby save time during the session. This will also allow people more time to familiarize themselves with the resolutions / mandates.

United Nations Resolutions can be found at the following website:

If internet access is not available, have copies of the various resolutions printed out and hand out to each group. Ensure that the selected resolutions have an existing prisons / corrections component (for example, UNMIL, UNMISS, UNMIT, UNAMA, UNAMID, UNOCI, etc.).

### Learning Activity Time Required (flexible)

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<tr>
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<tr>
<td>10 minutes</td>
<td>activity introduction and instructions</td>
</tr>
<tr>
<td>30 minutes</td>
<td>working in pairs or small groups</td>
</tr>
<tr>
<td>20 minutes</td>
<td>small groups reporting to larger group</td>
</tr>
<tr>
<td><strong>Total time:</strong></td>
<td><strong>60 minutes</strong></td>
</tr>
<tr>
<td><strong>Total time dependent on number of small groups and if pre-reading is completed prior to the session</strong></td>
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</table>

**Preparations**

Please see notes on preparations and downloading mission mandates in the “Preparations” notes at the beginning of this unit.

**Activity Guidelines**

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If mission of deployment is known:

1. Have participants research United Nations applicable resolutions or provide each participant with printed copies of the resolutions that currently exist (provide participants with several resolutions so that they can compare).

Note to Instructor: If there is more than one mission of deployment, give each participant copies of the other missions as well. This way everyone can learn about different mandates while the other groups are reporting back.

2. If participants did not have time to read the mandate before the activity, allow 15–20 minutes at this time.

3. Ask participants to discuss how the judiciary, police and corrections components are integrated into the various resolutions and how this may impact their activities on the ground.

4. Ask participants to talk with their partner or in their small groups and decide whether the mandate is for a traditional or multidimensional mission or a transitional authority. Ask participants to be prepared to report their decision and reasons to the larger group.

5. After 30 minutes of discussion time, ask groups to report back to the large group what they have discussed and/or decided and why.

Note to Instructor: It is helpful to ask participants to point out the specific wording that helped them to decide on the type of mission and their role in the mission.

• If a group has disagreement on the type of mission, ask them to present their reasons to the large group.

• If there is enough time, you can ask the other groups if they agree with the reporting group (provided they have copies of that mandate).
Now that the link between corrections support at the strategic level and at the operational level has been explained, it is important to take it one step further to discuss how prison support occurs at the operational and tactical levels.

**Note to Instructor:** The corrections support provided at both the operational and tactical levels will be discussed in more depth in STM Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of United Nations Corrections Support. The purpose of these slides is to provide an overview to the participants in order for them to understand where they are situated and how the link is made between the three levels (strategic, operational and tactical).

**The mission components working on correction issues:**
- Rule of law unit
- Police unit
- Other unit (human rights)
As was shown in CPTM Unit 2 (The Establishment and Functioning of United Nations Peacekeeping Operations), there is no standard structure of a United Nations peacekeeping operation, nor is there a standard organizational chart for a traditional or multidimensional peacekeeping operation. Each peacekeeping mission is different. Nonetheless, the corrections component is generally located in either the rule of law unit or the police unit.

Note to Instructor: Ask participants to contemplate the relevance of this, including the pros and cons of belonging to these units. Discuss their answers and bring examples from your own mission experience, e.g. resource allocation.

Summary

Corrections Support in Peacekeeping

- Foundation for long-term development of comprehensive rehabilitative corrections system
- Address elements essential to peace and security, focus on strengthening national corrections systems
- Act as catalyst to strengthening national corrections systems, ensuring that minimum\(^\text{10}\) humanitarian and human rights standards are attained
- Key role in encouraging national authorities to meet their obligations, with regards to basic humanitarian and human rights needs
- Corrections support is grounded in international human rights laws, the provisions in the Security Council resolutions, peace agreements, the host nation’s priorities, national and international actors, United Nations partners and lessons learned

Note to Instructor: Use this slide to summarize the module and point out that this is to serve as an overview and foundation for the rest of the modules.

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\(^{10}\) This refers to the *Standard Minimum Rules for the Treatment of Prisoners* (1955).
Learning Outcome Assessment

It is up to the learning institution to decide whether the learning outcome assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

At the end of this unit and/or the conclusion of all the STM units, instructors may want to choose some of the following questions for review:

1. Why is there a corrections component in peacekeeping operations?
2. What are three objectives of corrections support in peacekeeping?
3. What is CLJAS and what are the Service’s main tasks?

Answers

1. With the growing recognition that reforming police is not sustainable in the absence of an ineffective justice sector, support for the judiciary has become a part of a few, recent peacekeeping missions. Regardless of how effective, humane and responsive a police service is, it is likely to lose credibility and public cooperation if other elements of the justice system, such as the judiciary and the corrections system, are not functional.

Corrections components in peacekeeping are vital, not only for the national prison system and for restoring public law and order, but also for re-establishing the confidence of the population in the capacity of the State to govern, and for the overall success of the mission.

2. Grounded in the provisions of international human rights law, peace agreements, Security Council resolutions, the host nation’s priorities, national and international actors, United Nations partners and lessons learned.

Examples:

- Foundation for long-term development of comprehensive rehabilitative corrections system
- Address elements essential to peace and security, focus on strengthening of national corrections systems
• Act as catalyst to strengthening national corrections systems, ensuring minimum humanitarian and human rights standards are attained
• Key role in encouraging national authorities to meet their obligations, with regards to basic humanitarian and human rights needs
• Engage United Nations system, i.e. United Nations Development Program (UNDP), Office of the High Commissioner for Human Rights (OHCHR), Member States, International Organizations (IOs) and NGOs, etc.

3. CLJAS in 2008 had four judicial and corrections officers each supporting peacekeeping missions that had justice and corrections components. The Service partakes in: planning of new missions; guidance to corrections components in current missions; guidance on prison reforms to other United Nations actors; developing guidance and policy material; and recruitment of staff for missions.
# UNIT 2

Applying International Corrections Standards in Different Legal Systems

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<td><strong>Session Notes</strong></td>
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</table>
Preparatory Notes to Instructor

Background

Whatever the legal system, legislation or practice of the host country, international standards of corrections work apply as provided by international law, including in particular United Nations human rights law. They are common to the host and to the contributing country. Those standards are detailed in the training module on a human rights approach to prison management.¹

There are many different types of legal systems across the world, including common law, civil law, Islamic law and customary/informal justice systems. At the same time, the legal system in each country is unique and often contains elements of several different types of legal systems. When working in peacekeeping operations, it is useful that United Nations corrections officers have a basic understanding of the host country’s legal system, which may differ significantly from the legal system in their own country, and in particular of national legislation relevant to corrections. Furthermore, they must be sensitive to the fact that United Nations corrections officers come from countries representing a variety of legal systems, legislation and practices. In this context, United Nations standards for corrections work – which are common to the host country and the countries of origin of all United Nations corrections officers – are provided by international law and, in particular, related United Nations human rights law, as detailed in the training module STM Unit 4 Human Rights Approach to Corrections Management.

Aim

To provide participants with an understanding of:

- The different types of legal systems they may encounter in mission areas;
- The uniqueness of every legal system and of national legislation;
- The need to base the United Nations rule of law assistance on the specific legal system and relevant legislation of the host country; and

The global application of international standards concerning corrections work, which are common to the host country and the countries of origin of all United Nations corrections officers.

**Learning Outcomes**

On completion of this module, Applying International Corrections Standards in Different Legal Systems, participants will be able to:

- Identify the key characteristics of the most common types of legal systems, i.e. common law, civil law, Islamic law and customary/informal justice;
- Explain why every legal system is unique;
- Explain why it is necessary for United Nations corrections officers to have a basic understanding of the host country’s legal system and relevant legislation;
- Explain why it is fundamental for United Nations corrections officers to know and apply international standards concerning corrections work.

**Training Sequence**

This module is linked to cultural awareness as addressed in CPTM Unit 4 (Standards, Values and Safety of United Nations Peacekeeping Personnel, Parts 1 & 2). This module must be delivered prior to STM Unit 4 (Human Rights Approach to Corrections Management).

**Duration**

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>60 minutes</td>
<td>30 minutes</td>
<td>30 minutes</td>
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</table>

**Methodology**

This module should be delivered as much as possible in discussion format. Instructors should encourage questions from the participants and aim for an interactive session. While brief presentations on the different types of legal systems
may be needed, instructors should refrain from delivering overly legal or academic lectures. Instructors should also add examples from their own experiences working in peacekeeping contexts.

**Structure of Session**

- Different legal systems
- Legal systems in peacekeeping contexts
- Types of legal systems (civil law, common law, Islamic law and customary/informal justice)
- Common United Nations standards for corrections work

**Instructor Profile**

This module is best presented by an instructor with expertise in comparative law as well as experience providing rule of law assistance outside his/her home country, preferably in peacekeeping and other post-conflict settings.

**References**

**Comparative Law**


Civil Law


Zuckerman, A. A. S. (ed.), Civil Justice in Crisis (Comparative Perspectives of Civil Procedure), 1999. (For a commentary in French, see Revue internationale de droit comparé, vol. 52, no. 2, 2000, pages 487–9.)

Common Law


Poirier, Donald, Introduction générale à la common law (2006)

Sanders, Andrew, Prosecutions in Common Law Jurisdictions (1996)

Islamic Law

Amanat, Abbas, Shari’a: Islamic law in the Contemporary Context (2007)


Bassiouni, M. Cherif (ed.), The Islamic Criminal Justice System (1982)

Charnay, Jean-Paul, Esprit du droit musulman (2008)

Hallaq, Wael, An Introduction to Islamic Law (2009)
Unit 2: Applying International Corrections Standards in Different Legal Systems


**Customary/Informal Justice**


**International standards for corrections work**


**General Preparations**

Equipment and materials:

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts

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*United Nations Peacekeeping Predeployment Training Standards, Specialized Training Materials for Corrections 2013*
Symbols Legend

🚀 Note to Instructor (Background information for consideration)

📢 Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

📍 Mission Specific (A point where the session will benefit from mission specific information)

🔍 Example (Stories that illustrate a point or key message)

❓ Sample questions (A list of potential questions to pose to participants)

📚 Handout (Indicates a handout is provided to participants at this point)

🎬 Film (A film that is recommended as a core part of the training or an option)

💪 Core Learning Activity (An activity that is strongly recommended for inclusion)

🎨 Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

キー Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed)
Session Notes

Applying International Corrections Standards in Different Legal Systems

Aim
To provide participants with an understanding of:

- The different types of legal systems they may encounter in mission areas;
- The uniqueness of every legal system; and
- The need to base the United Nations rule of law assistance on the specific legal system of the host country.

Learning Outcomes
On completion of this module, participants will be able to:

- Identify the key characteristics of the most common types of legal systems, i.e. common law, civil law, Islamic law and customary/informal justice;
- Explain why every legal system is unique; and
- Explain why it is necessary for United Nations corrections officers to have a basic understanding of the host country’s legal system.
Structure of Session

- Different legal systems
- Legal systems in peacekeeping contexts
- Types of legal systems (civil law, common law, Islamic law and customary/informal justice)

Note to the Instructor: Explain to the participants that unlike the other corrections specialist modules, this module is much more an information session. On arrival at the mission, the corrections officer will be given country-specific information. Participants need to be aware that the legal systems of different countries vary, and they will probably encounter different procedures and rules to those that they are used to. However, the international standards still apply.

Different Legal Systems

- There are many different legal systems across the world, and the legal system of each country is unique.
- The most common types of legal system are common law, civil law, Islamic law and customary/informal justice.
- Most countries do not have “pure” legal systems but have mixed systems with elements from several types of legal systems.
- There may be differences even among countries which have the same type of legal system.

Many countries in Asia, Africa and Latin America have either civil law or common law systems as a result of once having been colonies of European nations.

Religious law refers to the notion of a religious system or document being used as a legal source. Islamic law is applied in the host countries of several current peacekeeping operations.
Customary/informal justice systems are usually locally grown.

Most countries do not have “pure” legal systems. Rather, they have mixed legal systems which combine elements of several legal systems.

Each legal system is unique, and reflects its form of government, economy, religions, cultural beliefs and practices and history. As a result, legal systems can vary greatly between countries and sometimes within countries. Understanding the politics, economy, culture and history of a country are therefore indispensable in order to understand its legal system.

There may be differences even among countries which have the same type of legal system. For example, despite their affiliation to the same legal family, there are significant differences between the written laws of the United States, the United Kingdom and Australia (common law countries). The differences between the legal systems of France, Germany and Chile (civil law countries) are also significant.

Ask participants to indicate which institution/official has the authority to impose detention in their home countries. Highlight similarities and differences between the legal systems that are described in order to emphasize the importance of understanding the legal system in which one is working.

**Legal Systems in Peacekeeping Contexts**

- A key principle of United Nations rule of law assistance is to base assistance on the unique country context, including the nature of the country’s legal system.
- To be effective, United Nations corrections officers must understand the key features of the host country’s legal system.
- Corrections officers must tailor their assistance to national counterparts based on the host country’s legal system.

According to the *Guidance Note of the Secretary-General on the United Nations Approach to Rule of Law Assistance*, assistance must be based on the
unique country context, including the nature of the country’s legal system. United Nations corrections officers must work within the framework of the host country’s legal system. To be effective, it is therefore essential that corrections officers understand the key features, laws and institutions of the host country’s legal system. Corrections officers cannot assume that the host country’s legal system is similar to the legal system in their own country. They cannot also assume that their own legal system is superior to the host country’s legal system.

Corrections officers must tailor their assistance to national counterparts based on the host country’s legal system. The provision of assistance without sufficient understanding the host country’s legal system would be highly inappropriate, and may be rejected by national counterparts. National counterparts may also be offended or question the professionalism and credibility of corrections officers who are not familiar with the basic features of the host country’s legal system.

Ask participants to share specific challenges they are likely to encounter if they try to assist national corrections authorities without understanding the legal system of the host country.

We will now review the basic features of the most common types of legal systems found in mission areas – civil law, common law, Islamic law and customary/informal justice systems.

### Civil Law

- Civil law originated in the Roman Empire.
- Judicial decisions are based primarily on legislation rather than prior judicial decisions.
- Investigations are conducted by an investigating judge (and judicial police in some countries).
- Cases are presented by the prosecutor to the judges or a jury. Defence counsel are also present.
- Victims may also play an active role in the proceedings.

---

The civil law system is one of the oldest legal systems in the world and has its origins in the Roman Empire.

The civil law system is considered the most common legal system in the world and is found in Continental Europe, Latin America, French and Portuguese-speaking Africa, and parts of East Asia.

Cases are considered by a judge based on the law and only secondarily based on prior judicial decisions if the law does not provide a clear answer or was interpreted in a particular way by precedent.

In a typical civil law system, the prosecutor initiates preliminary investigations and, if necessary, asks that an investigating judge be assigned to lead a formal judicial investigation. The investigating judge directs the investigation, instructing the police, interviewing witnesses and going to the crime scene to collect evidence. In some countries, judicial police are solely responsible for criminal investigation under the supervision of the investigating judge.

During criminal proceedings, prosecutors are responsible for presenting the case at trial to judges or a jury. While defence counsel play an active role during the trial, judges dominate trials in civil law systems. Victims have an important role in civil law proceedings and in some countries are parties to the proceedings.

**Common Law**

- Common law originated in England.
- Judicial decisions are based primarily on previous decisions but legislation is also important.
- Investigations are carried out by police.
- The prosecutor files the indictment and prosecutes the case. Defence counsel play an active role.
- Cases are tried before judges or a jury.
- Victims do not play a role in the proceedings except as witnesses or to provide impact statements.

Common law began with William the Conqueror and the invasion of England in 1066.
Common law spread to areas which had direct contact with England, either through settlement, colonization or other contact (Australia, Canada, India, New Zealand, South Africa and the United States).

Common law is based heavily (though not exclusively) on case law. Legislation is also important.

In a typical common law system, the investigation of a crime is carried out by the police who gather evidence (often independently). The police then transmit the evidence to a prosecutor, who files an indictment and prosecutes the case.

The case is adjudicated by a judge and may be decided upon by a jury of laypersons. Defence counsel will also participate actively prior to, and during, trial proceedings. Victims do not generally play an active role in common law proceedings, except as witnesses and in making victim impact statements.

<table>
<thead>
<tr>
<th>Islamic Law</th>
<th>Slide 9</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Islamic law is based on the Qur’an, the holy book of Islam.</td>
<td></td>
</tr>
<tr>
<td>- Islamic law is based on the manifest will of God rather than earthly law-makers.</td>
<td></td>
</tr>
<tr>
<td>- In many countries, Islamic law is applied by judges in the courts, who may be advised by muftis (professional jurists).</td>
<td></td>
</tr>
</tbody>
</table>

The main kinds of religious law systems are Sharia in Islam, Halakha in Judaism, and Canon law in some Christian groups. Of these we will only look in more detail at Islamic law, as it is the predominant one in current mission areas.

Islamic law is the most widely used religious law, and one of the three most common legal systems in the world alongside both common and civil law.

The most important sources of Islamic law are the Qur’an (holy book on Islam), the Hadith (what the prophet Mohammed said) and the Sunnah (what was practised by the prophet Mohammed).

The fundamental basis of Islamic law is that it is the manifest will of God and does not depend on the authority of any earthly law-maker.
In many countries today, Islamic law has been codified and integrated into the constitution (e.g. Egypt, Iran, Iraq and Afghanistan), and is applied by judges in the courts. *Muftis* (professional jurists) often provide advice to the court on matters of Islamic law that may arise.

**Customary/Informal Justice**

- There is no fixed definition of “customary/informal justice”.
- Some customary/informal justice mechanisms are not recognized by the State, while others are regulated by the State or fully incorporated into the formal justice system.
- In many countries, customary/formal justice mechanisms may be more popular, more prevalent and more easily accessible than formal justice institutions.
- Customary justice mechanisms should adjudicate only minor civil and criminal matters.

There is no fixed definition of “customary justice” or “informal justice”. Customary/informal justice may also be called “traditional justice”, “community-based justice” and “non-state justice”.

There are many different examples of customary/informal justice mechanisms. These include traditional and religious authorities, local administrators with adjudicative functions, such as chief, customary or local courts and community mediators.

Some customary/informal justice mechanisms are considered “unofficial” and are not recognized by the State. Others are considered “official” and may be regulated by the State or fully integrated into the formal justice system.

In many countries, the population may have easier and faster access to customary/informal justice mechanisms compared to formal justice institutions, especially outside of the capital and urban areas. Customary/informal justice mechanisms are usually part of the community structure, and operate in the language commonly used in the community.

Customary/informal justice mechanisms often do not adjudicate criminal matters but instead focus on maintaining peaceful relations within and between
communities. The Human Rights Committee (which was set up under the International Covenant on Civil and Political Rights) has stated that proceedings before courts based on customary law or religious courts should be limited to minor civil and criminal matters.\(^3\)

\(^3\) Human Rights Committee, General Comment No. 32 (2007), paragraph 24.
UNIT 3
Reform, Restructuring and Rebuilding,
and the Core Business of Corrections Support

Table of Contents

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Preparatory Notes to Instructor

Background

The activities of the corrections support component, an essential element of an overall rule of law strategy, can contribute and have a very positive impact on the enjoyment of freedoms, liberties and human rights of individuals. Without the procedures and capacities to provide humane treatment to prisoners, investments in police and the judiciary will, however, have a limited effect.

Reforming, restructuring and rebuilding the corrections system, in a framework of rule of law and respect for human rights, is a positive signal that can provide momentum towards peacebuilding in conflict and post-conflict states. This is useful for the State in not only restoring public law and order, but also the public confidence in its capacity to govern and provide security of persons under its jurisdiction.

The corrections components and corrections officers face a multitude of challenges, ranging from serious human rights violations and humanitarian crises to a lack of legislation, procedures, resources and political will. Countering these challenges and implementing minimum standards for the treatment of prisoners is a major mandated activity of the United Nations corrections component.

This module will identify, discuss and address the aforementioned key challenges. It also aims at explaining and defining the concept of reform, restructuring and rebuilding in the context of core activities of United Nations corrections components.

Aim

To provide participants with:

- A clear understanding of the basic concepts and strategies of reform, restructuring and rebuilding correctional services and the role of the corrections support component in this process;
- An understanding of the core tasks and activities of corrections officers in a United Nations mission, along with the challenges.
Learning Outcomes

On completion of this module, participants will be able to:

- Understand the basic concept of reform, restructuring and rebuilding (RR&R) correctional services in post-conflict countries;
- Understand the role of the corrections support component in the support of the RR&R process;
- Have an awareness of the conditions and challenges corrections officers might face within the corrections system of a post-conflict country;
- Recognize the tasks and responsibilities of a corrections officer (at the operational level).

Training Sequence

It is suggested that the material contained in this module should be delivered in one training period. It is recommended that it should be delivered prior to STM Unit 4 Human Rights Approach to Corrections Management.

Duration

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>70 minutes</td>
<td>40 minutes</td>
<td>15 minutes</td>
<td>15 minutes</td>
</tr>
</tbody>
</table>

Methodology

This module contains a suggested learning activity to keep adult learners engaged. The facilitation team should tailor this to the target audience. Participants should be fully involved in the learning process through practical exercises, brainstorming sessions, discussion of case studies, working in small groups on specific tasks, etc.

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit from the session.
Structure of Session

- Key principles of corrections support in peacekeeping
- Main bodies in peacekeeping (review)
- Implementation of corrections support objectives in the field
- Define reform, restructuring and rebuilding
- Common challenges in the reform process
- Reform, restructuring and rebuilding activities in mission
- Common challenges specific to corrections support
- Resources and mission support
- Questions and discussion
- Learning outcome assessment

Please Note:

- It is up to the learning institution to decide whether the learning outcome assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.
- Instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.

Instructor Profile

This module is best presented by an instructor with United Nations mission experience or extensive international experience. If there is more than one instructor, at least one should have practical experience.
Instructor Preparations

Required Readings

- *DPKO Policy on Support for the Reform, Restructuring and Rebuilding of Police and Law Enforcement Agencies* (18 December 2006)
- *Standard Minimum Rules for the Treatment of Prisoners* (1955)
- *Standard Minimum Rules for the Administration of Juvenile Justice* (“Beijing Rules”)
- *Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment* (1988)
- *Universal Declaration of Human Rights* (1948)
- *International Covenant on Civil and Political Rights* (1966)
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (adopted and opened for signature, ratification and accession by General Assembly resolution 39/46 of 10 December 1984)
General Preparations

Equipment and materials

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
Symbols Legend

📚 Note to Instructor (Background information for consideration)

話し言葉
Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

👨‍💻 Mission Specific (A point where the session will benefit from mission-specific information)

مثال
Example (Stories that illustrate a point or key message)

❓ Sample questions (A list of potential questions to pose to participants)

📜 Handout (Indicates a handout is provided to participants at this point)

🎥 Film (A film that is recommended as a core part of the training or an option)

륙한 학습활동
Core Learning Activity (An activity that is strongly recommended for inclusion)

.Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

 ключевые моменты
Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed.)
**Session Notes**

Reform, Restructuring and Rebuilding, and the Core Business of United Nations Corrections Support  

**Note to Instructor:** Give the participants a brief explanation of why they should pay special attention to this module. Explain that this is the foundation for the STM units that follow.

**Aim**

To provide participants with:

- A clear understanding of the basic concepts and strategies of reform, restructuring and rebuilding correctional services and the role of the corrections component in this process;
- An understanding of the core tasks and activities of corrections officers in a United Nations mission, along with the challenges.
Learning Outcomes

On completion of this module, participants will be able to:

- Understand the basic concept of reform, restructuring and rebuilding (RR&R) correctional services in post-conflict countries;
- Understand the role of the corrections component in the support of the RR&R process;
- Have an awareness of the conditions and challenges corrections officers might face within the corrections system of a post-conflict country;
- Recognize the tasks and responsibilities of a corrections officer (at the tactical level).

Note to Instructor: Introduce the session by letting participants know the aims of the unit and intended learning outcomes for the module.

Structure of Session

- Key principles of corrections support in peacekeeping
- Main bodies in peacekeeping (review)
- Implementation of corrections support objectives in the field
- Define reform, restructuring and rebuilding
- Common challenges in the reform process
- Reform, restructuring and rebuilding activities in mission
- Common challenges specific to corrections support
- Resources and mission support
- Questions and discussion
- Learning outcome assessment
The Guidance Note of the Secretary-General on the United Nations Approach to Rule of Law Assistance provides principles and a framework for United Nations rule of law activities at the national level. These principles are further explained for corrections in the DPKO Policy Directive on Prison Support in United Nations Peacekeeping Operations. This document describes the approach to support for corrections systems. Based on this directive, corrections support in peacekeeping operations is founded on the following principles:

• **Respect for human rights, emphasizing equality and non-discrimination** – capacity building on corrections systems and related programmes integrating a human rights approach to corrections management. This concept is further explored in STM Unit 4 Human Rights Approach to Corrections Management.

• **National ownership and engagement** – programme activities developed with national actors, agreed and supported by national corrections system personnel and responsive to national traditions, culture and history, and consistent with international human rights standards. This concept is further explored in STM Unit 5 Cooperation and Coordination with Key Partners.

• **Partnerships** – corrections system support which includes the active engagement of short- and long-term development partners and donors,
including mission partners such as human rights components that will encourage coherency of programming and facilitate a seamless transition to sustainable and long-term development. This concept is further explored in STM Unit 5 Cooperation and Coordination with Key Partners.

- **Gender mainstreaming** – commitment to ensure that the different experiences, needs and priorities of women, men, girls and boys are taken into account, and also investing in targeted interventions to remove specific discriminatory policies and practices that prevent women and girls from enjoying their full and equal rights in society. This is applicable to female corrections staff as well as female prisoners.

- **Sensitivity towards vulnerable groups** – ensuring that the human rights, safety and well-being of all segments of society requiring special protection or treatment, including women, children, persons with mental and physical disabilities and the elderly, are accounted for and addressed. This concept is further explored in STM Unit 4 Human Rights Approach to Corrections Management.

- **Transparency** – promoting processes and practices that ensure that the corrections system is managed with openness, integrity, responsibility and accountability. This concept is further explored in STM Unit 4 Human Rights Approach to Corrections Management.

- **Multilateral approach** – actively engaging national and international organizations and encouraging donors to adopt practical, integrated and coherent approaches to corrections support which facilitate and support a seamless transition to sustainable long-term development. This concept is further explored in STM Unit 5 Cooperation and Coordination with Key Partners.

- **Professionalism** – corrections officers applying professionalism in their work in a comprehensive and coherent manner within the criminal justice system, while keeping the professional identity of the corrections component, as distinct from other rule of law components. When providing assistance, corrections officers must not overlook the contribution of other stakeholders, both within and outside of the United Nations.

**Note to Instructor:** Some of the information above was taken from the DPKO’s *Prison Support Guidance Manual*, published January 2006. For additional information on this policy, please refer to *DPKO Policy Directive on Prison Support in United Nations Peacekeeping Operations* (December 2005).
Note to instructor: Make a link back to CPTM Unit 1 (A Strategic-Level Overview of United Nations Peacekeeping) and STM Unit 1 (Corrections Support in Peacekeeping), in order for participants to understand how corrections support occurs at the various levels.

In STM Unit 1 Corrections Support in Peacekeeping, the link between corrections support at the strategic level and corrections support at the operational level was described. It is now important to understand how the link between the operational level and the tactical levels occurs.
Operational to Tactical
Implementation of corrections support objectives in the field

- Support the establishment of a viable, safe, secure and humane corrections system based upon international human rights standards
- Support the provision of an environment that promotes the health and safety of staff, prisoners and other personnel
- Support the development of national corrections staff training strategies and the development of national training capacity
- Support the development of a professional and accountable work environment for staff which encourages self-responsibility and socially acceptable behaviour from prisoners, and provides appropriate prisoner services
- Perform programmatic and administrative tasks necessary for the functioning of the section:
  - Facilitate the development of a national corrections strategic plan, where appropriate
  - Develop an exit strategy

Support the establishment of a viable, safe, secure and humane corrections system based upon international human rights norms and standards:

- Integrating international human rights norms and standards in all aspects of the corrections component’s work;
- Instituting exchange of information and joint advocacy on prison system reform between the human rights and corrections components;
- Development and implementation of strategic planning processes;

Support the provision of an environment that promotes the health and safety of staff, prisoners and other personnel:
• Refurbishment or rebuilding of infrastructure;
• Establishing and maintaining contacts and effective relations with national government officials and civil society representatives, including counterparts in the Ministry of Justice and/or other relevant ministries, police, the courts, women’s groups, non-governmental organizations (NGOs), diplomatic missions and donors, and the media;
• Advising on good corrections practice and procedure;
• Management of critical administrative, operational and security issues;
• Preparing outputs, such as section reports and assessments, policy documents and guidelines.

Support the development of national corrections staff training strategies and the development of national training capacity

• Support a training needs assessment
• Assist with the development of training curriculum
• Conduct a training of trainers program for national authorities
• Support the development of a evaluation and monitoring of the training delivered

Support the development of a professional and accountable work environment for staff which encourages self-responsibility and socially acceptable behaviour from prisoners, and provides appropriate prisoner services:

• Management of prisoners and staff (routines and rosters, procedures, discipline, code of conduct and enforcement);
• Management of critical strategic and operational issues;
• Facilitating access to relevant training including on human rights;
• Supporting the strategic planning processes.

Perform programmatic and administrative tasks necessary for the functioning of the section:

• Preparation of budgets;
• Reporting on performance and results;
• Managing and evaluating staff performance;
• Recruiting, training and evaluating candidates;
• Performing any other task as appropriately requested by the Head of Unit, Head of Section or mission leadership.

Facilitate the development of a national corrections strategic plan, where appropriate:
• Participating in coordination mechanisms at mission level;
• Maintaining close working relationships with relevant partners and United Nations agencies, and presenting the mission as required;
• Supporting the development of effective linkages with police and courts, by advising, coaching and mentoring national counterparts;
• Building linkages with development partners and donors to ensure seamless transition to long-term development support and mobilization of resources, where necessary.

Develop an exit strategy:
• Building linkages with appropriate partners and donors to ensure seamless transition from short-term initiatives to longer term developmental assistance.

<table>
<thead>
<tr>
<th>Definitions</th>
<th>Slide 8</th>
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<tbody>
<tr>
<td>• Reform</td>
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<tr>
<td>• Restructuring</td>
<td></td>
</tr>
<tr>
<td>• Rebuilding</td>
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</table>

The Department of Peacekeeping Operations (DPKO) policy on support for the reform, restructuring and rebuilding (RR&R) of police and law enforcement agencies defines the terms as follows:

• **Reform**: The change process leading to greater capacity and integrity in the concerned law enforcement agency.
• **Restructuring**: The internal reorganization of the concerned law enforcement agency for the purpose of making it more efficient and able to fulfil its mandated functions.

• **Rebuilding**: The provision of the material and financial means to the concerned law enforcement agency to allow it to fulfil its mandated functions.

Ask participants to brainstorm the concept of corrections reform (specific activities or outcomes).

Reform is a comprehensive process which should be based on the specific situation and a needs assessment.

1. It requires the engagement of all actors and should have an emphasis on local ownership.
2. It requires regular monitoring and readjustment, if necessary.
3. Restructuring and rebuilding are two means by which to achieve the goals of reform.
4. There are a number of measures that could contribute to a corrections reform process, for instance: change the name of the corrections service; create a vision; refurbishing or rebuilding corrections facilities; improve training of staff; increase the involvement of stakeholders; ensure relevant legislation and appropriate governance structure; promote effective and transparent leadership; establish performance evaluation standards; and provide new equipment and new uniforms to create a positive image and pride in the service.

<table>
<thead>
<tr>
<th>General Challenges in the Reform Process</th>
<th>Slide 9</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Lack of political will</td>
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<tr>
<td>• Lack of an adequate legal framework</td>
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<tr>
<td>• Lack of accountability and oversight mechanisms</td>
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<tr>
<td>• General instability and insecurity</td>
<td></td>
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<tr>
<td>• Absence or ineffective governance structure and framework</td>
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<tr>
<td>• Lack of human and financial resources</td>
<td></td>
</tr>
<tr>
<td>• Degraded or weak physical infrastructure</td>
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</tbody>
</table>
- General mistrust of government authorities
- Corruption

Note to Instructor: Briefly discuss with participants common challenges found in post-conflict or fragile states.
**Reform, Restructuring and Rebuilding Activities of Prison Support**

- Cooperation and coordination
- Human rights assessment and monitoring
- Reporting
- Mentoring, advising and training
- Project management

---

RR&R activities are how corrections officers implement the key principles of corrections support outlined in a previous slide. The activities noted above have been identified as the foundation of corrections support in the field.

A human rights assessment of a corrections system is the systematic process of reviewing prison conditions against the minimum standards to ensure that humane conditions are being maintained and prisoners’ human rights are being respected. It should be a continuous process of monitoring and evaluation. Corrections components are encouraged to share information for the human rights components’ independent monitoring and assessment of detention facilities, prison conditions and management practices for compliance with international human rights standards.

Corrections staff receive individuals who are lawfully deprived of their liberty. They have the responsibility to hold them safely and then, in most cases, release them back into the community. As such, prison officials are at the forefront of human rights protection on a daily basis. In this framework, human rights instruments, ranging from the Universal Declaration of Human Rights to specific texts such as the *Standard Minimum Rules for the Treatment of Prisoners*, the *Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment*, or the International Covenant on Civil and Political Rights and the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, provide a set of rules to help prison staff perform their duties through policies and practices that are human rights compliant, lawful, humane and disciplined. Incorporating such principles into daily conduct strengthens the dignity of this profession. (Adapted from OHCHR, *Human Rights and Prisons: A Trainer’s Guide on Human Rights Training for Prison Officials*.)
Note to Instructor: The purpose of this slide is not to provide an exhaustive account of RR&R activities in relation to corrections support. For the purposes of this module, the link between RR&R and other STM units is adequate in order to understand the general activities of corrections officers.

Implementation objectives must be designed to overcome common challenges (discussed in previous slides) but must be contextualized to the realities of the host countries. For example, in a post-conflict context health services for the general community are often inadequate; it will be extremely difficult to ensure that health care services for prisoners meet the minimum standards, which would probably exceed those of the general community. However, this does not mean that corrections officers do not utilize all means possible to ensure prisoners have adequate healthcare.

It is also important to note that balance is also required within corrections. For example, resources need to be allocated equally to all facets of a corrections system in order to avoid a disproportionate focus on prisoners over staff or infrastructure.

Core Learning Activity

Provide a copy of:

- a United Nations job description sent to corrections-contributing countries that describes the roles and responsibilities of corrections officers in the field, and
- an example of a Secretary-General report that describes corrections-related activities.

These types of documents provide insight into the interconnectedness of the strategic, operational and tactical levels of the United Nations.

Note to Instructor: As an example, Security Council Report S/2009/61 (30 January 2009) reports on disarmament, demobilization and reintegration (DDR) activities, including the training of prisoners.

Prior to showing the next slide, ask the participants, in groups, to make a list of what they believe is characteristic of corrections systems in post-conflict countries.
### Common Challenges Specific to Corrections Support

<table>
<thead>
<tr>
<th>Slide 11</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>• Weak (or lack of) corrections legislation, policies and operating practices</strong>&lt;br&gt;<strong>• Poor corrections infrastructure</strong>&lt;br&gt;<strong>• Limited understanding of the role of corrections</strong>&lt;br&gt;<strong>• Violations of prisoners’ human rights</strong>&lt;br&gt;<strong>• Inadequate basic services (food, water, sanitation, health care)</strong>&lt;br&gt;<strong>• Inadequate number of corrections staff</strong>&lt;br&gt;<strong>• Lack of adequately trained corrections staff</strong>&lt;br&gt;<strong>• Lack of cooperation within the criminal justice system</strong></td>
</tr>
</tbody>
</table>

Complement this slide with pictures from your own mission experience, illustrating these types of conditions. Highlight the fact that conditions can vary greatly and that the slide shows the most common problems encountered.

### Resources and Mission Support

<table>
<thead>
<tr>
<th>Slide 12</th>
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<td><strong>• Personnel</strong>&lt;br&gt;<strong>• Funding</strong>&lt;br&gt;<strong>• Host country</strong>&lt;br&gt;  - Local financial resources&lt;br&gt;  - Local non-financial resources&lt;br&gt;<strong>• Bilateral and multilateral support</strong>&lt;br&gt;<strong>• United Nations resources</strong>&lt;br&gt;<strong>• Quick Impact Projects (QIPs)</strong>&lt;br&gt;<strong>• United Nations agencies, funds and programmes</strong></td>
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</table>

In order to be able to accomplish above mentioned RR&R activities, it is vital to be aware and have knowledge of the following resources.
**Personnel**

DPKO employs corrections officers who have sound technical knowledge and skills and the ability to apply these in a culturally appropriate manner within the peacekeeping environment. In selecting these personnel, due regard shall be paid to the importance of recruiting staff on as wide a geographical basis as possible.

**Note to Instructor:** As prisons and the corrections system generally come last in any post-conflict country’s budget priorities, the issue of attracting donor support and funding is one of the most important for the corrections support component to address and continuously work with.

Donors and funding issues relate heavily to STM Unit 5 Cooperation and Coordination with Key Partners, where various partners of the corrections component will be presented. These issues also relate to STM Unit 8 Introduction to Project Management, as resources/funding are a vital part of project management. Hence United Nations resources, QIPs and United Nations agency, fund and programme resources will be elaborated on further in the course and are just briefly introduced here.

**Funding**

Funding is provided from the assessed budget for provision of office space and logistical support including communications equipment and transport, to support the United Nations corrections officers deployed in each mission.

Funding is generally not provided from the assessed budget for activities which support the national corrections system, e.g. national staff salaries, vehicles, communication and security equipment for use by national staff, physical rehabilitation of facilities and costs incurred to train national staff.

A major role of United Nations corrections officers is facilitating and encouraging donor engagement to increase the effectiveness of capacity-building programmes.

**Local financial resources**

Corrections systems are generally poorly funded. The primary source of funding will be the host country’s national budget. It is important that, as soon as a national budget is identified and a planning process instituted,
the national and international corrections experts familiarize themselves with the budget process and relevant individuals in the ministry who are responsible for managing the corrections portfolio.

Arguments should be put forward for the creation of a separate appropriation to the corrections service under the budget allocations. These arguments may relate to: the link between corrections and peace and security, the crisis management impact of high-profile and mass escapes, the necessity of supporting the investment in the development of police and judicial systems, and the fact that funds can be spent quickly with visible and real impact.

**Local non-financial resources**
Non-financial local resources which may be available include:

- **‘In-kind’ contributions**, for example clothing, health and hygiene products, security and building materials, office and corrections furniture donated by community organizations;
- **Local lawyers or legal aid personnel** to interpret legislation, provide advice concerning legal detention practices and court-related issues;
- **Government departments and facilities** that can be used to help prisoner families and corrections-related projects;
- **Equipment, materials and expertise** from local businesses or organizations to support corrections industries and prisoner work;
- **Services from local schools**, for example literacy training for prisoners and staff, translation services.

**Bilateral and multilateral support**
Engagement of donors is a key activity of corrections support components in all missions since the corrections system requires considerable investment to create humane, safe and secure containment of prisoners. Investment in the rehabilitation of physical facilities, equipment, transport and communications, and staff training are resource needs of interest to donors. It should be noted that supporting corrections systems has not been an area of high donor interest and, therefore, corrections support components will need to actively seek such support. Donors supporting the judicial and legal system and police may be more responsive. The Office of the Special Representative of the Secretary-General (SRSG) may also assist in mobilizing donor support, and drawing the attention of donors to this
sector of the criminal justice system, at donor conferences and other forums. Providing regular, updated project proposal information to the Office of the SRSG assists this source of support.

Donor assistance comes in various forms and has a range of advantages and drawbacks. Common forms of donor assistance include:

- **Personnel** (consultant technical experts and government secondments);
- **Equipment** (vehicles, specialized equipment, second-hand or surplus equipment, etc.);
- **Contracted goods and services** (donor contracts a third-party organization to undertake specified activities on behalf of the United Nations or host country, for example rehabilitation of infrastructure);
- **Cash** – particularly in the early phases of a crisis response, but often harder to obtain later on.

In many cases donor governments may send their own technical teams to assess the situation. In this case a DPKO mission corrections component should seek to be a key team member. Key national corrections staff should also be included as part of the team to provide a local frame of reference and historical information.

National corrections staff should not be relied on merely as interpreters but as substantive team members. In the early days of a post-conflict environment, some donors will disburse funds very rapidly which can be useful for corrections systems that often require immediate and significant amounts of funds for infrastructure and equipment. By quick and efficient use of early funding sources and strong accountability mechanisms, corrections components can prove their credibility as reliable recipients of rapid disbursement funding.

Donors often prefer to fund discrete interventions that do not entail long-term, open-ended commitments. For example, while donors may be prepared to fund the rehabilitation of corrections infrastructure, they may not fund its operating costs (it is often cited that capital injections for reconstruction comprise approximately 15 per cent of the total cost of a corrections/detention facility given a lifetime of 25–30 years).

Donors are unlikely to take on the long-term operating costs of the facilities. Therefore, questions should be raised during discussions with donors and the Ministry of Finance and/or Planning about the recurrent cost implications of donor assistance before it is accepted. Donors may
themselves press the government to develop a sustainability strategy before providing support. In any event, prior to accepting any donor proposal, it is essential to have clear evidence that the equipment and staff operating costs that will be incurred in utilizing the facility can be met in the longer term.

National corrections departments may choose to develop partnerships with corrections jurisdictions of other nations, and such an arrangement might help to provide training material, security and other equipment, staff exchange programmes, etc. Sustainability of supply, compatibility of equipment, particularly security and communication equipment and in-country capacity to service donated equipment should be kept in mind.

United Nations resources
There are two main forms of United Nations assistance that can be obtained within the mission area. The first is through mission resources allocated to the corrections function, as well as those common services that are provided mission-wide to all personnel. The second form of assistance is provided by United Nations specialized agencies, funds and programmes, such as United Nations Children’s Fund (UNICEF), United Nations Development Programme (UNDP), Office of the United Nations High Commissioner for Refugees (UNHCR), Office of the United Nations High Commissioner for Human Rights (OHCHR), etc.

Quick Impact Projects (QIPs)
Most missions have funding for QIPs. QIP funding provides the mission with a fast disbursement mechanism that gives access to funds for a wide range of small, highly visible projects addressing emergency situations relating to the rehabilitation of essential infrastructure, the building of basic institutions and functioning of public services and utilities.

United Nations agencies, funds and programmes
United Nations agencies, funds and programmes provide voluntary sources of funding. These entities are funded by donor governments, through voluntary contributions, for specific projects and programmes.
Learning Outcome Assessment

It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

At the end of this unit and/or the conclusion of all the STM units, instructors may want to choose some of the following questions for review.

1. List some key principles of corrections support in peacekeeping.
2. In your own words, define RR&R.
3. What are some of the RR&R activities performed by corrections officers in the field?
4. How will corrections-specific challenges identified during this session affect the RR&R process?
5. Identify some of the resources required to conduct RR&R in the field.
# UNIT 4

**Human Rights Approach to Corrections Management**

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Preparatory Notes to Instructor

Background

Implementing a Human Rights Approach to Corrections

Since the founding of the United Nations in 1945, Member States have convened regularly to develop and adopt international rules and standards to further the protection of human rights, particularly in the administration of justice. Among these is a growing body of rules and standards aimed at protecting the rights of persons who have been lawfully deprived of their liberty. Since their adoption in 1955, the Standard Minimum Rules for the Treatment of Prisoners (SMRs) have provided non-binding guidance on good principle and practice in prisoner treatment and prison management. In 1988, the United Nations General Assembly adopted the Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment, providing further guidance.

Like any other United Nations staff, corrections officers in United Nations peace operations have a responsibility to ensure that human rights are promoted and protected through their work, and that a human rights approach to prison management is adopted by the host country, consistent with international standards.

Prior to conflict, the management of a host country’s prison system may have reflected, to varying degrees, a human rights approach. As a result, in some contexts, national corrections counterparts may be familiar with these standards. In such cases, reviewing the current system for compliance with these standards, in partnership with national counterparts, can provide a natural entry point for creating support to the development of a longer term development strategy.

In other contexts, United Nations corrections officers must be prepared to introduce to national counterparts the basic international principles and standards which provide the essential framework for a human rights approach to prison management. Fostering an understanding and respect for such standards will be fundamental to national ownership of a corrections sector development strategy consistent with international standards.

Corrections officers should develop effective means to ensure that host-country personnel are able to increase their awareness and understanding of applicable international standards and norms and to apply them in the performance of their duties. Related approaches may include:

• Undertaking a review process with national staff in order to determine the extent of compliance with applicable international human rights standards; on the basis of that assessment, concrete plans to address the gaps can be developed;

• Referencing applicable international standards in standard operating procedures and post orders, and reviewing these tools to ensure these standards are appropriately incorporated;

• Developing and conducting training on applicable international standards with the support of national or international experts, including United Nations mission corrections experts.

Guidance for relevant national assessment and planning, procedural review and training is available in OHCHR’s Human Rights Training Package for Prison Officials, which consists of:

• A Manual, which provides in-depth information on sources, systems and standards for human rights relating to the work of prison officials, practical recommendations, topics for discussion and checklists;

• A Trainer’s Guide, which provides instructions and tips for trainers;

• A Pocket Book of international human rights norms containing a comprehensive collection of point-form standards organized in a readily accessible and portable reference format; and

• A Compilation which includes excerpts from, and the full texts of, selected international human rights instruments concerning the administration of justice.²

Aim
To provide participants with:

• knowledge of international human rights standards regarding, and the human rights perspective on, corrections management;

• to impart to participants the need to consistently maintain the human rights perspective on corrections management at the core of any corrections support provided by a United Nations peacekeeping operation.

Learning Outcomes

On completion of this module, Human Rights Approach to Corrections Management, participants will be able to:

**Part 1**
- Explain what is meant by the term human rights;
- List basic human rights;
- Describe the fundamental principles outlined in the Universal Declaration of Human Rights (1948);
- List four instruments that apply to human rights of people held in detention;

**Part 2**
- Articulate why human rights is important in peacekeeping;
- Describe the role of a United Nations corrections officer with regard to human rights;
- Describe the role of the corrections system;
- List the main areas related to detention/imprisonment under which human rights can be clustered.

Training Sequence

This module presents the fundamentals of the training programme and contains key information for any participant being trained for international deployment. The concepts within this module should be covered in detail. The material contained in this module could be delivered over one or two training units or over the period of one training day depending on the number of learning activities. The instructor can modify the duration to suit national training requirements and adapt the subject matter to reflect the comprehension level of participants.

The sequence in which this module is presented is critical to the overall understanding of the predeployment training programme. This module should come after STM Unit 1 Corrections Support in Peacekeeping, Unit 2 Applying International Corrections Standards in Different Legal Systems, and Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of Corrections Support, and be delivered before STM Unit 5 Cooperation and Coordination with Key Partners, Unit 6 Report Writing, Unit 7 Mentoring and Advising, and Unit 8 Introduction to Project Management. The concepts in this module will provide the participant with the foundational knowledge of human rights and prison standards. All other modules presented will build on this module.
**Duration and Time Schedule**

<table>
<thead>
<tr>
<th>Minimum Session time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
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</thead>
<tbody>
<tr>
<td>6–8 hours</td>
<td>As required</td>
<td>As required</td>
<td>As required</td>
</tr>
<tr>
<td>Additional Options</td>
<td>Mission Specific</td>
<td>Optional Film</td>
<td>Optional Activities</td>
</tr>
<tr>
<td>45 minutes</td>
<td>As required</td>
<td></td>
<td>45 minutes</td>
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</table>

**Notes on Methodology, Content and Teaching Materials**

This module is the foundation for all training that corrections officers being deployed into the field receive. This will serve as the introduction module and will provide the basis and understanding of the role of the corrections officer while in the field.

This module contains a variety of suggested learning activities to keep adult learners engaged. The instructors should use as many of the learning activities as time allows and keep them tailored to the target audience. Participants should be fully involved in the learning process through practical exercises, brainstorming sessions, discussion of case studies, working in small groups on specific tasks, etc.

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.

**Please note:**

- Several scenarios have been developed that are attached as an Annex. All scenarios are either taken from *Human Rights and Prisons: Manual on Human Rights Training for Prison Officials* or developed from the field experiences of the authors of this training material. Each scenario will challenge groups to research and apply the SMRs and training material they were provided. Although there are no correct answers, each response should link to international standards and provide practical methods of applying those standards.
- The scenarios provided are examples; the instructor can create other scenarios.

**Structure of Session**

- Introduction
- Overview of human rights (optional learning activity on the Universal Declaration of Human Rights)
- International instruments (general)
• Human rights in the peacekeeping context
• Overview of international prison statistics
• A common language and vision in prison management (optional learning activity)
• Framework for the field (Standard Minimum Rules for the Treatment of Prisoners, A Human Rights Approach to Prison Management)
• Overview of Standard Minimum Rules for the Treatment of Prisoners
• Core learning activities 1–6
• Summary

Instructor Profile

This module is best presented by an instructor who has experience in a United Nations corrections support component in the field, who could share his/her experience with the group. If there is more than one instructor, at least one should have practical (mission) experience. The instructor should also encourage questions from the participants and aim for an interactive discussion. All participants should be encouraged to contribute to group discussions, case study discussions and in any other activity.

Given both the expertise that the Office of the United Nations High Commissioner for Human Rights (OHCHR) has in this area and the fact that much of this module is based on OHCHR training materials, it is strongly recommended that the OHCHR field office closest to the venue of this training be invited to jointly teach this module.

Instructor Preparations

Required Readings

The following are relevant United Nations references on human rights and prisons:


The following are relevant United Nations references on prisons and peacekeeping:


• Center on International Cooperation, *Building on Brahimi: Peacekeeping in an era of Strategic Uncertainty* (April 2009)

• DPKO, *Primer for Justice Components in Multidimensional Peace Operations: Strengthening the Rule of Law* (December 2006)


The following is another reference that is easily available on human rights for corrections:


**General Preparations**

Equipment and materials:
1. Computer and Power Point slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
Symbols Legend

Note to Instructor (Background information for consideration)

Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

Mission Specific (A point where the session will benefit from mission-specific information)

Example (Stories that illustrate a point or key message)

Sample questions (A list of potential questions to pose to participants)

Handout (Indicates a handout is provided to participants at this point)

Film (A film that is recommended as a core part of the training or an option)

Core Learning Activity (An activity that is strongly recommended for inclusion)

Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed.)
Session Notes

Human Rights Approach to Corrections Management

Note to Instructor: Give the participants a brief explanation of why they should pay special attention to this module. Explain that this is the foundational knowledge for all the STM units that follow.

Aim

- To provide participants with knowledge of international human rights standards regarding, and the human rights perspective on, corrections management;
- To impart to participants the need to consistently maintain the human rights perspective on corrections management at the core of any corrections support provided by a United Nations peacekeeping operation.

Note to Instructor: Explain that like other United Nations staff, peacekeeping corrections officers have a responsibility to ensure that human rights are promoted and protected through their work, and that a human rights approach to corrections management is adopted by the host country, which is bound to respect international human rights law.

Learning Outcomes

On completion of this module, participants will be able to:

Part 1

- Explain what is meant by the term human rights;
- List basic human rights;
- Describe the fundamental principles outlined in the Universal Declaration of Human Rights (1948);
- List four instruments that apply to human rights for people held in detention;
Part 2
- List why human rights is important in peacekeeping;
- Describe the role of a United Nations corrections officer with regard to human rights;
- Describe the role of the corrections system;
- List the main areas related to detention/imprisonment under which human rights can be clustered.

Structure of Session
- Introduction
- Overview of human rights (optional learning activity on the Declaration of Human Rights)
- International instruments (general)
- Human rights in the peacekeeping context
- Overview of international prison statistics
- A common language and vision in prison management (optional learning activity)
- Framework for the field (Standard Minimum Rules for the Treatment of Prisoners, A Human Rights Approach to Prison Management)
- Overview of Standard Minimum Rules for the Treatment of Prisoners
- Learning activities 1–6
- Summary
Part 1

Human Rights

“All human beings are born free and equal in dignity and rights. They are endowed with reason and conscience and should act towards one another in a spirit of brotherhood” (Article 1 of the United Nations Universal Declaration of Human Rights – UDHR).

“All human rights derive from the dignity and worth inherent in the human person, and [...] the human person is the central subject of human rights and fundamental freedoms, and consequently should be the principal beneficiary and should participate actively in the realization of these rights and freedoms” (Vienna Declaration and Programme of Action, World Conference on Human Rights 1993).

“The administration of justice, including law enforcement and prosecutorial agencies and, especially, an independent judiciary and legal profession in full conformity with applicable standards contained in international human rights instruments, are essential to the full and non-discriminatory realization of human rights and indispensable to the processes of democracy and sustainable development” (Vienna Declaration and Programme of Action, World Conference on Human Rights 1993).

Note to Instructor: Slide 5 presents main statements about human rights in important United Nations documents, to introduce the topic. Before presenting slide 6a, 6b and 7, it is suggested to launch a brainstorming exercise with the participants asking them first to provide some examples of human rights, and then asking them to reflect and provide ideas concerning the two separate words “human” and “rights”. This second brainstorming will allow participants to identify most of the elements of the definition by themselves.
### Examples of Human Rights

<table>
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<tr>
<th>Slide 6a</th>
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<tbody>
<tr>
<td>• Right to life</td>
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<td>• Freedom from discrimination</td>
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<td>• Freedom from torture and cruel, inhuman or degrading treatment or punishment</td>
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<td>• Freedom from arbitrary arrest and detention</td>
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<tr>
<td>• Freedom from arbitrary interference with privacy, family, home or correspondence</td>
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<tr>
<td>• Freedom of association, expression and assembly</td>
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<tr>
<td>• Freedom of movement</td>
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<td>• Right to seek and enjoy asylum</td>
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### Examples of Human Rights

<table>
<thead>
<tr>
<th>Slide 6b</th>
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<tbody>
<tr>
<td>• Freedom of thought, conscience and religion</td>
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<tr>
<td>• Right to vote and take part in government</td>
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<td>• Right to just and favourable work conditions</td>
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<td>• Right to adequate food, shelter, clothing and social security</td>
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<td>• Right to health</td>
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<td>• Right to education</td>
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<tr>
<td>• Right to property</td>
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<tr>
<td>• Right to participate in cultural life</td>
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<td>• Right to development</td>
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</tbody>
</table>
Defining Human Rights

Human rights are universal legal guarantees protecting individuals and groups against actions which interfere with fundamental freedoms and human dignity.

Human rights law obliges governments to do some things and prevents them from doing other things.

Some of the most important characteristics of human rights are the following:

- They are advocated internationally.
- They are legally protected at the international, regional or national level.
- They focus on the dignity of the human being.
- They protect individuals and groups.
- They obligate States and State actors.
- They cannot be waived or taken away (but some can be restricted in accordance with legal due process or in special circumstances strictly defined by law).
- They are equal and interdependent – improvement of one affects the other and the deprivation of one impacts the other.
- They are universal – they apply to all human beings.

Source: OHCHR website

The United Nations has a clear definition of human rights yet one can find variance in the definition in various sources of literature:

- “Basic rights and freedoms to which all humans are entitled.”
- “Human rights are international norms that help to protect all people everywhere from severe political, legal, and social abuses.”
- “An international term used to describe a wide range of freedoms and liberties that an individual enjoys in their relation with other individuals or with their State.”
- “The recognition and respect of people’s dignity.”
- “A set of moral and legal guidelines that promote and protect a recognition of our values, our identity and ability to ensure an adequate standard of living.”
• “The basic standards by which we can identify and measure inequality and fairness.”
• “Those rights associated with the Universal Declaration of Human Rights.”

Note to Instructor: Slides 8 and 9 are optional and not part of the core curriculum. It is at the discretion of the instructor if this is included. The information may prove useful if questions are asked regarding early human rights. The concept of human rights can be found in early forms of religion. These elements of human rights are identified by the relational aspects of these religions. Although far from complete, these elements provide insight into the fact that the concept of human rights is not a relatively modern concept.

Early Existence of Human Rights Principles

Are the principles of human rights a modern concept developed less than 100 years ago?

Some fundamental principles of human rights are very much evident in various forms of ancient and modern religious teachings:

- Islam: “That who so slays a soul not to retaliate for a soul slain, nor for corruption done in the land, shall be as if he had slain mankind altogether.” (Qur’an) – The human person has absolute value and the dignity of the person is protected.

- Christianity: “Human rights are derived from faith and involve duties to God and one’s neighbour.” (Bible) – Rights are relational and expressed in the Commandments.
Early Existence of Human Rights Principles

Some fundamental principles of human rights are very much evident in early customs and legal frameworks:

- Sumerian King Hammurabi (1700 BCE) – protection against arbitrary detention and punishment (cause and effect approach – did not account for respect for diversity).
- Ancient Greece – realization of natural rights and natural law – freedom from arbitrary persecution – but arbitrarily applied as slavery existed.

Early examples of rights codified into a legal framework (civil liberties):

- British Magna Carta, 1215
- French Declaration for Human Rights of Man, 1789
- American Bill of Rights, 1789

Conclusion: Human rights are advocated as modern norms but are derived from ancient concepts and principles.

The above are examples of early customs and legal perspectives that also contain and advocate the fundamental principles of our modern understanding of human rights and freedoms. As well, we are able to identify the varying principles of human rights through the lenses of natural and positive legal philosophers in that they both recognize the fundamental rights and freedoms of the human being but vary on the State’s relationship with these rights and freedoms.
United Nations Charter (1945)

- Promotion of and respect for human rights for all is a purpose of the organization.
- Established legal obligations for Member States to take action to achieve respect for human rights.

Universal Declaration of Human Rights (UDHR, 1948)

“A common standard of achievement for all peoples and all nations” (preamble).

Described by the drafters like a temple with a foundation, four pillars and a roof:

- **Foundation**, Articles 1–2: inform the whole text
- **Pillar 1**, Articles 3–11: rights pertaining to the individual as such
- **Pillar 2**, Articles 12–17: rights of individuals in relation to each other
- **Pillar 3**, Articles 18–21: spiritual, public and political rights
- **Pillar 4**, Articles 22–27: economic, social and cultural rights
- **Roof**, Articles 28–30: place rights in the context of limits, duties and the social and political order in which they are to be realized

(See Mary Ann Glendon, “The Rule of Law in the Universal Declaration of Human Rights” Northwestern University Journal of International Human Rights)

The atrocities committed during the Second World War prompted States to take action to ensure that those acts would not repeat, and that common standards of decency could and should be agreed by people of all nations and cultures. One of the first acts of the newly established United Nations was to instruct its 18-member multinational Human Rights Commission to draw up a set of principles that all member states would pledge to implement. From 1946 to 1948 the Commission, drawing from existing national Constitutions as well as religious, philosophical and cultural traditions, elaborated the Universal Declaration of Human Rights, which was proclaimed by the then United Nations General Assembly, composed of 58 States, on 10 December 1948. It constituted the meeting point of different conceptions concerning human beings and society and, when adopted, was considered an interpretation of the human
rights provisions of the UN Charter. Through the years, the UDHR has inspired the development of a vast body of international human rights law, the setting up of regional human rights systems and the struggle for independence by colonial States, its provisions being included in the constitutions of the newly formed independent States. Due to their worldwide acceptance, although the UDHR is non-binding, certain of its provisions have acquired the status of customary international law. They include the right to life, liberty and security of the person; the prohibition of torture and of cruel, inhuman and degrading treatment or punishment; the prohibition of arbitrary arrest; the right to a fair trial; the right to be presumed innocent until proven guilty; and the prohibition of retroactive penal measures.

**Optional Learning Activity**

Cut out all the articles of the Universal Declaration of Human Rights or of its simplified version and have the groups categorize them into the general groupings above. This allows the participants to think about each article and discuss and debate among their peers. The outcome of the activity is to familiarize participants with the specific articles of the Universal Declaration of Human Rights regardless of whether or not they can categorize them correctly.

Estimated time for exercise: 20 minutes for discussion and categorization; 10 minutes for debrief.

You can find the text of the Universal Declaration of Human Rights in more than 380 languages, as well as a simplified version and other resources, at: http://www2.ohchr.org/english/issues/education/training/udhr.htm.

Sources of International Human Rights Law

- United Nations Charter (1945)
- Universal Declaration of Human Rights (UDHR, 1948)
- International Covenant on Economic, Social and Cultural Rights (ICESCR, 1966)
  - Optional Protocol to the ICESCR (2008)
- International Covenant on Civil and Political Rights (ICCPR, 1966)
  - Optional Protocol to the ICCPR (1966)
  - Second Optional Protocol to the ICCPR (1989)

Followed by over 200 international human rights instruments.

In the years following the Universal Declaration of Human Rights, two treaties covering a broad range of human rights – the International Covenant on Civil and Political Rights and the International Covenant on Economic, Social and Cultural Rights – were elaborated and adopted. Together with the UDHR, they constituted the so-called “International Bill of Human Rights”.

From this foundational framework, States have developed and adopted a wealth of international human rights instruments, both in the context of the United Nations and regional intergovernmental systems. Part 2 of this module will look in detail into international human rights instruments related to the administration of justice, and in particular corrections management.

The legal status of these instruments varies. International treaties, which are also referred to variously as covenants, protocols and conventions, are legally binding for those States that ratify or accede to them. Treaties adopted within the United Nations are open for signature and ratification by all States, while those adopted within the framework of regional organizations are open to States who are members of the organization concerned. Often, treaties establish mechanisms, such as committees of experts, tasked to monitor implementation of the treaty by States parties.
Examples of International Human Rights Treaties

- International Convention on the Elimination of All Forms of Racial Discrimination (1965)
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1984)
- Convention on the Elimination of All Forms of Discrimination against Women (1979)
- International Convention on the Protection of the Rights of All Migrants Workers and Members of Their Families (1990)

International instruments referred to as declarations, principles, guidelines, standards, rules and recommendations have no binding legal effect. Nevertheless, those instruments have an undeniable moral force and provide practical guidance to States in their conduct. The value of such instruments rests on their recognition and acceptance by a large number of States and, even without binding legal effect, they may be seen as declaratory of broadly accepted principles within the international community.

Examples of Other International Human Rights Instruments

- Declaration on the Rights of Persons Belonging to National or Ethnic, Religious and Linguistic Minorities
- Code of Conduct for Law Enforcement Officials
- Basic Principles on the Independence of the Judiciary
- Declaration on the Right to Development
- Basic Principles for the Treatment of Prisoners
- Declaration on the Rights of Indigenous Peoples
Merely establishing a set of rules is not enough to ensure their application. The implementation of human rights standards is closely watched at several levels. **National institutions and organizations** monitoring human rights include:

- Concerned government agencies and services;
- National human rights institutions, such as an independent human rights commission or an ombudsman (these are institutions established following the guidelines known as the “Paris Principles”);[^3]
- Human rights groups and other non-governmental organizations (NGOs);
- Community-based organizations;
- The courts;
- Parliament;
- The media;
- Professional associations (such as lawyers’ or doctors’ associations);
- Trade unions;
- Religious organizations;
- Academic institutions.

At the global level, human rights are monitored by United Nations human rights mechanisms, as well as by peacekeeping and human rights field operations, and by a number of international NGOs. Regional organizations, such as the Council of Europe, the Organization of American States and the African Union, have also developed mechanisms to monitor compliance with human rights standards by countries in their respective regions. More detailed information on sources, systems and standards for human rights, in particular with regard to the administration of justice, can be found in OHCHR’s [Human Rights and Prisons: Manual on Human Rights Training for Prison Officials](http://ohchr.org/EN/HRBodies/HRTraining/Manuals/Pages/ManualOnHumanRightsTrainingForPrisonOfficials.aspx).

Part 2

Human Rights and the Prison System

International human rights law is binding on all States and their agents.

Therefore, corrections officers are obliged to know, and to apply, international standards on human rights.

World Prison Population List

(Include updated list from http://www.prisonstudies.org)

Note to Instructor: Discuss the world prison population list to provide a context for the state of incarceration and detention globally. Use this to explain the varying objectives of prisons and whether or not the ratios presented are significant. Focus on post-conflict or conflict states where the Department of Peacekeeping Operations (DPKO) has a presence. The world prison population list can be found online at the International Centre for Prison Studies (http://www.prisonstudies.org).

Proportion of Pretrial/Detainees in Prison Population

(Include updated list from http://www.prisonstudies.org)
World Pretrial/Detainee Prison List (Dec 2007)

- 2.25 million estimated to be held in pretrial detention
- Globally, this group represents between 10% and 40% of the prison population
- In almost half of African countries, this group represents the majority of the prison population
- Typically, in conflict and post-conflict countries, this group represents the majority of the known prison population

What other statistics or information would be significant and useful as indicators of a struggling criminal justice system?


Note to Instructor: Use these statistics as a starting point/introduction to the Part 2 of this module.

Have the participants think about what impact these statistics might have in a prison system (e.g. public distrust and lack of confidence in justice). Use this as a link into the next section. Also use this to discuss some of the potential human rights violations that come along with being detained and not sentenced. Highlight that those nation states with disproportionately high numbers of detainees are more susceptible to human rights violations according to studies. Ask the participants what other statistics or information would be more significant and useful to use as indicators of a struggling criminal justice system.

The issues covered in this module show that there is a common set of standards defined by international law, which, taken together, constitute a model for good prison management. Since the approach and principles used by any United Nations corrections officer should be relevant in every prison system in the world, it is essential that the set of principles that is used as a reference point is applicable in every country. They should not be based on a particular culture or on the standards which are accepted in one country or region, but rather relevant international human rights standards.
A Common Language

- Arrest
- Detainee / Detained person
- Prisoner / Imprisoned person

Note to Instructor: Go through these terms as defined in international human rights standards (*Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment*). Help the participants to understand that nation States and other actors may not be consistent in the terminology they use. However, whatever the terminology used, international law sets specific human rights standards covering all persons under any form of detention and imprisonment, which States and corrections officers are bound to respect.

**Arrest:** “The act of apprehending a person for the alleged commission of an offence or by the action of an authority” (*Use of Terms, Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment*).

**Detainee:** “Any person deprived of personal liberty except as a result of conviction for an offence” (*Use of Terms, Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment*).

**Prisoner:** “Any person deprived of personal liberty as a result of conviction for an offence” (*Use of Terms, Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment*).

Role of United Nations Corrections Officers
(main themes)

- Monitor the national prison service for compliance with international human rights law
- Mentor and advise national prison staff
- Build capacity among national corrections staff
- Investigate and report human rights violations
- Promote sustainable peace through justice and security

Note to Instructor: As United Nations corrections officers, we need to be aware of how human rights impact on prison support, the treatment of prisoners/detainees and the management of prisons. This slide notes just a
couple of the larger concepts that need to be considered when we view prisons through a human rights paradigm. As a result, we should be able to identify our role as international corrections officers.

The Role of the Corrections System

- In democratic societies, detention and imprisonment should only be imposed when there is no alternative, and people should be lawfully deprived of liberty for the shortest necessary time.
- Prisons do not exist in a vacuum (what happens inside prison walls will impact on society outside and what happens in society at large will have an impact within the prison walls).
- State authorities are responsible to ensure respect and protection of human dignity and to uphold human rights of all persons imprisoned or detained.
- Prisons must be humane and safe places for those who live and work in them, i.e. for prisoners, for staff and for everyone who visits.
- A prison sentence is the punishment; prisons are not places of punishment.

Corrections Staff and the Administration of Prisons

- Work in corrections is an important public service.
- Corrections management has to have an ethical foundation.
- The administration of the prison system should be in civilian hands. It should not be part of a military structure.
- The director of an institution should be adequately qualified for the task, appointed on a full-time basis, and resident on the premises or in the immediate vicinity.
- The relationships between first-line staff and prisoners are the key to good corrections management; staff should conduct themselves in a manner which commands the respect of prisoners.
• Personnel at all levels should be carefully selected for their integrity, humanity, professional capacity and professional suitability.
• Personnel shall be appointed as full-time prison officers, with civilian status, salaries adequate to attract and retain suitable men and women, and favourable employment benefits and conditions of service. They should be trained before entering on duty and while they are in service.
• Corrections staff need to be representative of and accountable to the community they serve.
• The public needs to be educated about the fundamental public service role of corrections.

**Note to Instructor:** Present this short list of prison management principles based on relevant international standards (in particular, the *Standard Minimum Rules for the Treatment of Prisoners*, as far as prison administration is concerned) as a means of aligning corrections officers from diverse backgrounds, cultures and nationalities with the United Nations vision of corrections and corrections administration. Debate the legitimacy of each principle.

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**International Human Rights Instruments**

**Essential Principle**

All persons deprived of their liberty shall be treated with humanity and with respect for the inherent dignity of the human person.

(Article 10 of the International Covenant on Civil and Political Rights)

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**Note to Instructor:** As mentioned above in Part 1, international human rights instruments have been developed and agreed by States in the context of the United Nations or regional fora. Such instruments are treaties, which have the status of law and are legally binding on all States which have ratified or acceded to them. Most human rights treaties contain references to the treatment of persons who are deprived of their liberty.
Examples of Treaties Pertaining to Detainment and Imprisonment

- International Covenant on Civil and Political Rights and its Protocols
- International Covenant on Economic, Social and Cultural Rights and its Protocol
- Convention on the Prevention and Punishment of the Crime of Genocide
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment
- Optional Protocol to the Convention against Torture
- International Convention for the Protection of All Persons from Enforced Disappearance
- International Convention on the Elimination of All Forms of Racial Discrimination
- Convention on the Elimination of All Forms of Discrimination against Women
- Convention on the Rights of the Child

Optional Learning Activity

Present the selection of international instruments in the slide above and ask the groups to identify how these specific instruments will impact prisons and prison management. Make links to Part 1 of this module and earlier modules on legal frameworks. Point out the significance of these.
### Other International Instruments that Deal Specifically with Prisoners and Conditions of Detention

- Standard Minimum Rules for the Treatment of Prisoners
- Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment
- Basic Principles for the Treatment of Prisoners
- United Nations Guidelines for the Prevention of Juvenile Delinquency
- United Nations Rules for the Protection of Juveniles Deprived of Their Liberty
- Declaration on the Elimination of Violence against Women
- Principles on the Effective Prevention and Investigation of Extra-legal, Arbitrary and Summary Executions
- Principles on the Effective Investigation and Documentation of Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment
- Safeguards Guaranteeing Protection of the Rights of those Facing the Death Penalty
- Principles of Medical Ethics relevant to the Role of Health Personnel, particularly Physicians, in the Protection of Prisoners and Detainees against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment
- Code of Conduct for Law Enforcement Officials
- Basic Principles on the Use of Force and Firearms by Law Enforcement Officials

*In addition to treaties, there are a number of other international human rights instruments (principles, minimum rules, declarations etc.) which may not be legally binding but are broadly accepted, highly influential and provide more.*
detailed guidance and a valuable complement to the principles contained in the treaties.

International human rights instruments are also supplemented by a number of regional human rights instruments. In the context of the Council of Europe, these are, for instance, the European Convention for the Protection of Human Rights and Fundamental Freedoms (1950) and its Protocols; the European Convention for the Prevention of Torture and Inhuman or Degrading Treatment or Punishment (1987) and the European Prison Rules (2006). The American Convention on Human Rights entered into force in 1978, while the African Charter on Human and Peoples’ Rights came into force in 1986. Like United Nations human rights mechanisms, which monitor implementation of human rights standards by Member States, there are regional mechanisms which monitor the extent to which individual States implement international and regional standards. Regional bodies may also have an adjudicative authority that can decide human rights issues, with some adjudicating individual complaints. In the Americas, the Inter-American Court of Human Rights fulfils this role, while in Europe a similar role is carried out by the European Court of Human Rights, and in Africa by the African Court on Human and Peoples’ Rights.

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<tr>
<th>Main Areas Related to Detention/Imprisonment under which Human Rights Can Be Clustered</th>
<th>Slide 27</th>
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<td>• Right to physical and moral integrity</td>
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<td>• Right to an adequate standard of living</td>
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<td>• Health rights of prisoners</td>
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<td>• Non-custodial measures</td>
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**Note to Instructor:** The above slide represents main areas related to detention and imprisonment under which human rights standards contained in the various applicable international instruments can be clustered. Relevant human rights standards under each cluster are dealt with in detail in the nine bullets below.
These standards represent norms agreed by States which the United Nations advocates and with which prison experts should align themselves.

Optional Learning Activity

Show Slide 27 and ask the participants (individually or in groups) to identify four or five specific examples of human rights applicable in the context of each cluster within their own (domestic) prison service. The purpose of this activity is for participants to discuss and compare national human rights standards. Debrief with the notes provided below, which list applicable human rights standards under each cluster. The international instruments which contain each of those standards are referred to in detail in OHCHR’s Human Rights and Prisons: Manual on Human Rights Training for Prison Officials. Debrief in front of the entire group.

1. **Right to physical and moral integrity** – All persons deprived of their liberty shall be treated with humanity and with respect for the inherent dignity of the human person.

   **Prohibition of torture and ill-treatment:**
   - No one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment. There are no exceptions.
   - Torture is defined as any act by which severe physical or mental pain or suffering is intentionally inflicted on a person, other than that which is inherent in or incidental to lawful sanctions.
   - Ill-treatment is defined as other acts of cruel, inhuman or degrading treatment or punishment which do not amount to torture.
   - Any act of torture committed as part of a widespread or systematic attack directed against the civilian population with knowledge of the attack is a crime against humanity.
   - No prisoner shall be subjected, even with his or her consent, to any medical or scientific experimentation which may be detrimental to health.
   - Like torture and ill-treatment, enforced disappearances and summary executions are completely prohibited.
   - All law enforcement officials shall be fully informed and educated about the prohibition of torture and ill-treatment.
   - Any statement made as a result of torture shall not be invoked as evidence in any proceedings, except as evidence to bring the perpetrators to justice.
   - Orders from a superior officer may not be invoked as a justification for torture.
   - Law enforcement officials may use force only when it is strictly necessary.
• Any individual who alleges that he or she has been subjected to torture has the right to complain and to have his or her case promptly and impartially examined by competent authorities.
• All deaths in custody, incidents of torture and ill-treatment, and disappearances of prisoners shall be properly investigated.
• All interrogation rules, instructions, methods and practices pertaining to detained and imprisoned persons shall be kept under systematic review with a view to preventing torture.

Admission and release:
• Persons deprived of their liberty should be held in places which are officially recognized as places of custody.
• A detailed register shall be kept of every person deprived of liberty.
• All prisoners shall be provided promptly with written information about the regulations which apply to their treatment and about their rights and obligations.
• The families and legal representatives of prisoners, and if appropriate diplomatic missions, are to receive full information about the fact of their detention and where they are held.
• All prisoners shall be offered a proper medical examination and treatment as soon as possible after admission.

2. Right to an adequate standard of living – All persons deprived of their liberty have the right to an adequate standard of living, including adequate food, drinking water, accommodation, clothing and bedding.
• Accommodation for prisoners shall provide adequate cubic content of air, floor space, lighting, heating and ventilation.
• Prisoners required to share sleeping accommodation shall be carefully selected and supervised at night.
• All prisoners have the right to wholesome and adequate food at the usual hours, with drinking water available whenever needed.
• All prisoners not allowed to wear their own clothing shall be provided with suitable clothing.
• There shall be facilities for keeping clothing clean and in proper condition.
• All prisoners shall be provided with a separate bed and clean bedding, with facilities for keeping bedding clean.
• There must be facilities to wash and dry clothing and bedding regularly.

3. Health rights of prisoners – The enjoyment of the highest attainable standard of physical and mental health is a human right.
• It is a basic requirement that all prisoners should be given a medical examination as soon as they have been admitted to a prison or place of detention.
• Any necessary medical treatment should then be provided free of charge.
• Prisoners should generally have the right to request a second medical opinion.
• Prisoners should have free access to the health services available in the country.
• Decisions about a prisoner’s health should be taken only on medical grounds by medically qualified people.
• Every prison should have proper health facilities and medical staff to provide for a range of health needs, including dental and psychiatric care. Sick prisoners who cannot be treated in the prison, such as prisoners with mental illness, should be transferred to a civil hospital or specialist prison hospital.
• All prisoners shall have access to a qualified dental practitioner.
• Services for psychiatric diagnosis and, if appropriate, treatment shall be available at every prison.
• Sick prisoners who require specialist treatment shall be transferred to specialized institutions or to civil hospitals.
• Prisoners who are insane shall not be detained in prisons, but transferred as soon as possible to mental institutions.
• Prisoners suffering from other mental diseases shall be treated in specialized institutions under medical management, or treated and supervised by prison medical services as appropriate.
• All prisoners shall be provided with facilities to meet the needs of nature in a clean and decent manner and to maintain adequately their own cleanliness and good appearance.
• All prisoners shall have at least one hour’s daily exercise in the open air if the weather permits.

4. Making prisons safe places – There are three main elements in ensuring that prisons are safe places. The three elements are:
   o Security
   o Good order and control
   o Discipline and punishment
• The use of force, including use of firearms, to prevent escape should be employed only when less extreme means are insufficient to prevent the escape.
• Restraints may be used as a precaution against escape during transfer for no longer than strictly necessary, provided that they are removed when the prisoner appears before a judge or administrative authority, or on medical grounds.
• Instruments of restraint, such as handcuffs and straitjackets, shall never be applied as a punishment.
• Prisons should be safe environments for all who live and work in them (i.e. for prisoners, for staff and for visitors.)
• No one in a prison should fear for his or her physical safety.
• Discipline and order shall be maintained with firmness but with no more restriction than is necessary for safe custody and well-ordered community life.
• All disciplinary offences and punishments must be specified by law or by published legal regulations.
• No prisoner shall be punished before being informed of the alleged offence and before being given the opportunity to present a proper defence.
• No prisoner shall be employed in any disciplinary capacity.
• All cruel, inhuman or degrading punishments are completely prohibited, including corporal punishment or placing the prisoner in a dark cell.
• Punishment by close confinement or reduction of diet shall never be inflicted unless the prisoner is certified by the medical officer as medically fit to sustain it.
• Prisoners who are subject to disciplinary action should have the right of appeal to a higher authority.

5. **Making the best use of prisons** – Deprivation of liberty is a punishment in itself. The objective of this section is to underline that it is not the task of the prison administration to inflict further punishment on the prisoner. On the contrary, prisoners should be encouraged to use their time in prison to learn new skills, to improve their education, to reform themselves and to prepare for eventual release.
• The main aim of the prison authorities in their treatment of prisoners should be to encourage personal reformation and social rehabilitation.
• The purpose of the prison regime should be to help prisoners to lead law-abiding and self-supporting lives after their release.
• All sentenced prisoners who are medically fit shall be required to work. As far as possible, this work should give them skills so that they can earn an honest living after their release.
• National legislation regarding health and safety at work shall apply in prisons in the same way as it does in the community.
• Vocational training shall be provided, especially for young prisoners.
• Prisoners should be remunerated for the work they do.
• Prisoners should be allowed to spend at least part of their earnings, to send a part to their families and to save a part.
• Education and cultural activities shall be provided and encouraged, including access to an adequate library.
• Education in prisons should be aimed at developing the whole person, taking account of prisoners’ social, economic and cultural background.
• Education shall be compulsory for young prisoners and illiterate prisoners. The prison authorities should give this aspect of education a high priority.
• The outside community should be involved as much as possible in educational and cultural activities in prisons.
• All prisoners have the right to observe their religion and to have access to a minister of that religion.
• From the beginning of a prisoner’s sentence, consideration shall be given to his/her future after release and prisoners shall be assisted in ensuring their future reintegration into society.
• All agencies and services responsible for the reintegration of prisoners into society shall ensure that all prisoners have the means and available resources to maintain themselves in the period immediately following their release.

6. Prisoners’ contact with the outside world
• No one shall be subjected to arbitrary interference with his or her privacy, family, home or correspondence.
• All prisoners shall have the right to communicate with the outside world, especially with their families.
• Foreign prisoners shall be allowed to communicate with their diplomatic representatives.
• A prisoner’s request to be held in a prison near his or her home shall be granted as far as possible.
• Prisoners shall be kept informed of important items of news.

7. Complaints and inspection procedures
• Anyone whose rights or freedoms have been violated has the right to an effective remedy, determined by a competent court.
• Every prisoner shall have the right to make a complaint regarding his or her treatment and, unless the complaint is evidently frivolous, to have it dealt with promptly and, if requested, confidentially. If necessary, the complaint may be lodged on behalf of the prisoner by his or her legal representative or family.
• Every prisoner on admission shall be provided with written information on rules and on complaints and disciplinary procedures in a language which he or she understands. If necessary, these regulations should be explained orally.
• If a complaint is rejected or not responded to in a timely manner, the complainant shall be entitled to bring it before a judicial or other authority.
• Each State party to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment shall ensure a prompt
and impartial investigation whenever there are reasonable grounds to believe that an act of torture or ill-treatment has been committed.

- There shall be thorough, prompt and impartial investigation of all suspected cases of extralegal, arbitrary and summary execution, including cases where complaints by relatives or other reliable reports suggest unnatural death in the above circumstances.
- Prisons shall be inspected regularly by qualified and experienced inspectors from a competent authority separate from the prison administration.
- Every prisoner shall have the right to communicate freely and confidentially with inspectors, subject only to the demands of good order and discipline in the institution.

8. Persons under detention without sentence

- Everyone charged with a penal offence has the right to be presumed innocent until proved guilty.
- Everyone has the right to liberty and security. No one shall be deprived of his or her liberty except on such grounds and in accordance with such procedures as are established by law.
- Anyone who is arrested shall be informed, at the time of the arrest, of the reasons for his or her arrest and of his or her rights. Anyone who is arrested shall be promptly informed of any charges.
- Anyone who is arrested shall be brought promptly before a judicial authority for the purpose of having the legality of his or her arrest or detention reviewed and shall be released if the detention is found to be unlawful.
- Anyone who is arrested has the right to trial within a reasonable time, or to release.
- Comprehensive written records of all interrogations must be kept, including the identity of all persons present during the interrogation.
- All arrested or detained persons shall have access to a lawyer or other legal representative and adequate opportunity to communicate with that representative.
- Untried prisoners shall be allowed immediately to inform their families of their detention and shall be given all reasonable facilities for communicating with their families and friends.
- Accused persons shall, save in exceptional circumstances, be segregated from convicted persons and shall be subject to separate treatment.
- Untried prisoners shall sleep singly in separate rooms, except where local customs differ in respect of the climate.
- Untried prisoners may, if they so desire, have their food procured at their own expense from the outside.
- Untried prisoners shall be allowed to wear their own clothing if it is clean and suitable.
• If an untried prisoner wears prison clothing, it shall be different from that supplied to convicted prisoners.
• Untried prisoners shall always be offered the opportunity to work, but shall not be required to work.
• Untried prisoners shall generally be allowed to procure at their own expense books, newspapers and writing materials.
• Untried prisoners shall generally be allowed visits from their own doctor or dentist.
• Persons awaiting trial shall not be detained in custody as a general rule. Release pending trial shall be envisaged as early as possible.
• A pretrial prisoner shall have the right to appeal to a judicial or other independent authority against his or her detention.

9. Non-custodial measures
• The use of non-custodial measures should be recommended and encouraged.
• Non-custodial measures should be applied without discrimination on the grounds of race, colour, sex, age, language, religion, political or other opinion, national or social origin, property, birth, or other status.
• Consideration should be given, where possible, to dealing with offenders in the community without resort to the courts.
• Non-custodial measures should be used in accordance with the principle of minimum intervention.
• Any form of release from an institution to a non-custodial programme shall be considered at the earliest possible stage.
• There should be suitable mechanisms to facilitate linkages between services responsible for non-custodial measures and other relevant agencies in the criminal justice system, social development and welfare agencies, both governmental and non-governmental, in such fields as health, housing, education and labour, and the mass media.
• The criminal justice system should provide a wide range of non-custodial measures, from pretrial to post-sentencing dispositions, in order to avoid the unnecessary use of imprisonment.
• Pretrial detention shall be used as a means of last resort in criminal proceedings, and alternatives to pretrial detention should be employed as early as possible.
• The number and types of non-custodial measures available should be determined in such a way, inter alia by law, that consistent sentencing remains possible.
• Sentencing authorities, when considering non-custodial measures, should take into consideration the rehabilitative needs of the offender, the protection of society and the interests of the victim, who should be consulted whenever appropriate.
• The development of new non-custodial measures should be encouraged and closely monitored and their use systematically evaluated.

Creating a Framework for the Field

• Standard Minimum Rules for the Treatment of Prisoners
• Human Rights and Prisons: Manual on Human Rights Training for Prison Officials

Note to Instructor: Hand out and briefly go through the Standard Minimum Rules for the Treatment of Prisoners (SMRs), which can be found at http://www2.ohchr.org/english/law/treatmentprisoners.htm, and the OHCHR Manual on Human Rights Training for Prison Officials, which can be found at http://www.ohchr.org/Documents/Publications/training11en.pdf.

Note to Instructor: Before going to the next slide, discuss the role of a United Nations corrections officer in terms of the promotion of human rights. Corrections officers need to understand the host country’s expectations and standards as well as the expectations of the international community and international standards. Corrections officers should begin by focusing on the host country’s expectations, capacity and resources, gradually building on these to ensure compliance with international standards. Remember that the SMRs contain standards that all Member States should attempt to meet, and lack of resources should not be used as an excuse not to comply with a particular standard.

Activity 1

Human Rights Standards

• A series of photos will be shown. Using Human Rights and Prisons: Manual on Human Rights Training for Prison Officials as a reference, what issues and human rights standards are coming to mind?
• Discuss in your group and have someone write down your ideas.
• Debrief in the class.
Core Learning Activity

Activity 1: Human Rights Standards

Developing the bigger picture and understanding the concepts. Show a series of prison-related photos – whether from your mission or not, they should raise human rights concerns (to varying degrees). Have the participants then identify any issues concerning human rights standards related to prisons (hereafter “prison standards”) that come to mind – examples include overcrowding, sanitation, hygiene, separation, etc. All photos need to be prison related and taken from a variety of countries if possible. Not all photos will show human rights violations. Some photos can be used to demonstrate situations where standards are being met adequately. The scope of the activity is to have participants practice the identification of issues and related standards, to help them formulate appropriate questions for the prison authorities. Participants with different experiences and backgrounds may identify different standards.

Note to Instructor: The fundamental learning point is to have participants be able to identify priorities by linking prison standards with the realities they might encounter. This provides participants with an ability to further investigate various standards in a practical manner.

Special Needs Groups in Detention / Prison

- What or who are special needs groups?
- Why is it important to pay special attention to these groups?

Note to Instructor: Participants need to understand the concept of vulnerable groups and their susceptibility to human rights violations. They should quickly understand that vulnerable groups identified in prisons mirror vulnerable groups identified in the community. They should also understand that these groups need special attention in order to protect their well-being and dignity. The following activity will allow participants to explore the concept of vulnerable groups and the international instruments that protect them.
Activity 2: Understanding Special Needs Groups

Firstly, have the groups define what identifies a special needs group and why. Secondly, have participants identify special needs groups in prison. Assign one special needs category to each group and have them use the tools to identify the instrument or instruments that speak to (or protect) that particular group. Then ask participants to identify five elements that are important to that group in a prison setting (what do the instruments speak to – separation, special care etc). Participants can utilize both the SMRs and the Manual on Human Rights Training for Prison Officials provided to them.

Note to Instructor: All answers are provided in Human Rights and Prisons: Manual on Human Rights Training for Prison Officials.
**Special Needs Groups of Detainees / Prisoners**

(Examples)

- Juvenile and young prisoners
- Women prisoners
- Life and long-term prisoners
- Prisoners under sentence of death (condemned)
- Mentally ill
- Remand / detainees
- Foreign nationals
- People detained arbitrarily

Note to Instructor: Go through/show this slide in connection to debrief for Activity 2. Add information about identification of special needs groups and key information from international instruments as you see fit. Note that the United Nations does not sanction or endorse the death penalty, yet many Member States still use the death sentence as part of their sentencing.

Note that the arbitrary detention group is the group that is detained or imprisoned due to processes outside the recognized judicial process. These individuals are not legally detained or imprisoned. These people should enjoy the full complement of rights and freedoms and not rights restricted or limited as a result of detention or imprisonment. Examples of these groups are children or imprisoned mothers, witnesses, mentally ill and all those incarcerated without a warrant signed by a competent judicial body.
Activity 3 Prioritization of Actions
(Part 1)
United Nations mission areas are very demanding, and staff often become overwhelmed with the conditions of the prisons and the amount of work that needs to be done. You will need to learn to prioritize your activities and initiatives and in doing so, you may be focusing on a few prison standards while leaving others for later action. In a situation where none of the SMRs are being met, which standard would you focus on first and which would you leave for later action?

- In your group, prioritize the various elements of international standards into three groupings: those to be addressed first, second and third.

Activity 3 Prioritization of Actions
(Part 2)
- You will be given a select number of the standards you just prioritized. In your groups define what these standards mean or what they look like on the ground (use examples if desired).

Note to Instructor: In order for States to align with international expectations, all penal law and policy needs to reflect the components of the SMRs. Therefore, as corrections officers in the field, we are required to conduct a “gap analysis” – taking into account what is currently happening on the ground and what should be taking place according to the SMRs. From time to time, the gap between what is taking place and what should be taking place is significant. In order not to become overwhelmed by the reality of the environment and what needs to be accomplished, United Nations corrections officers need to prioritize what projects they can implement firstly (realistically) to address the gaps between the reality and the prison standards. Remember that the SMRs tend to be interdependent and the strengthening of one or several will likely impact positively on others. It is never easy to prioritize one’s activities in relation to human rights in the field, because all human rights are equally important. However, it is rare that you will have the resources to address all prison standards at the same time. Instructors should provide participants with a scenario for this exercise, either one developed from their experience in a
mission, or the one below for the stakeholders’ meeting in Activity 4 could be utilized.

As internationals building rapport and assisting nation states to develop ownership of their prisons, we need to ensure that our priorities align with the priorities of the national authorities and ensure that their priorities are aligned with the overall mandate of strengthening rule of law. The process of alignment can be linked to STM Unit 5 Cooperation and Coordination with Key Partners, as well as STM Unit 7 Mentoring and Advising.

This exercise is to prioritize actions – not standards. It should be stressed to the participants that prioritization would depend on the specific situation on the ground, which would need to be assessed first. This exercise could be replaced by one in which the instructor gives a specific detailed scenario and asks participants to prioritize their proposed action for the national authorities.

Core Learning Activity

Activity 3: Prioritization of Actions – Part 1
See attached Annex where Activity 3, Part 1 is detailed in full.

This activity is best completed in small groups (groups of four). Diverse backgrounds, education and national prison systems will bring a significant degree of debate and discussion around the prioritization exercise. In the end, the participants should begin to understand that each of the articles of the SMRs cannot stand alone but are interdependent. Therefore, creativity may be the best approach to aligning competing perspectives.

As an option, the instructor could inform each group that they only have enough resources to address a selected number of prioritized activities (10–12 in total). Then, as an obstacle, the instructor can state that they need to reduce the number of items in the “address first” grouping to five items. This should provoke additional discussion, as participants debate which standards they believe are more important that the others.

There is no correct or incorrect prioritization or activities. They are all equally important. However, the instructor should be able to identify “life-sustaining” standards as paramount and evaluate other selections through the process of the groups rationalizing their lists. The more discussion around interdependence, the deeper the understanding participants will have of the SMRs and how they apply in any prison context.
Activity 3: Prioritization – Part 2
Give each group a selected number of specific rules from the SMRs to define (five to each group but all should be different). By getting the group to discuss definitions, they will work through the process of understanding that the SMRs, although very specific, may manifest themselves differently in different environments. Although the specifics of the SMRs are being achieved, how they are achieved may vary significantly. This is an excellent opportunity to discuss the dangers of prison experts gravitating towards their own national practices rather than working to develop practices that achieve SMR standards in line with local tradition, customs or legislation.

Activity 4: SMR Role Play
In your groups (groups of four) you will be provided with a realistic scenario of a stakeholders’ meeting concerning the national prison service that is taking place in a new mission area.

You will be provided with information on the context of the meeting and mission area and your specific role in the meeting.

Read the context document and the description of your specific role. Think about how you are going to play your role and push your agenda.

You need to identify 10 projects in the time limit provided. Each rule of the SMRs represents a project.

You MUST play your role effectively and fight for your agenda but also remember what it takes to create a sustainable prison service.

Be sure to account for all the factors provided to you in the context document and your specific role brief.

Core Learning Activity

Activity 4: SMR Role Play
See attached Annex where Activity 4 is detailed in full.

Role play at a stakeholders’ meeting. The purpose of this activity is to have participants experience the diverse agendas and perspectives that will be influencing
the prison service in the mission area. The key is that they discuss the SMRs and learn the interdependence that exists between each prison standard. They will experience the complexities when negotiating between various stakeholder agendas (NGO, United Nations and other donors) and appreciate various points of view.

Get the participants into groups of four. Explain that they will be role-playing a stakeholders’ meeting in a new mission area. Provide them with the following items:

- A general brief of the context, environment and expectations of the donor meeting to establish a new prison.
- Individual roles to play at the donor meeting. Each role will be advocating a different agenda. It is up to the participants to identify the relevant standards that support their agenda.
- Several articles of the SMRs (can be taken from Activity 2). Each rule will represent one project.

Give participants time to read and understand the general context and their specific roles. Help to explain the context if they are having trouble understanding the details. Add or subtract details as you feel necessary.

Tell all participants that they need to identify 10 projects within a certain period of time (30–40 minutes depending on the discussions).

Each participant MUST play their role effectively and fight for their agenda in order to understand the complexities of competing agendas, the influence of politics and the diverse understanding of safe, secure and humane treatment of prisoners.

At some point, the instructor can make changes to the context to place additional pressure on the participants. For example, the length of the mission can be shortened from two years to one year and the bilateral donor loses all funding with the exception of the ability to supply experts. You can also tell them that, as a result of the reduced time and funding, they now need to identify five projects instead of ten.

The instructor must walk between the groups ensuring they are following their roles and that they are keeping in mind the general context of the exercise. Remind participants of local ownership and that all projects must be realistic within the time and budget limitations.

Note to Instructor: An alternative to having a number of groups run in parallel role plays would be to conduct this exercise in a “fishbowl” – i.e. one small role
play at the centre of the room with all other participants taking notes for the subsequent plenary debriefing

Activity 5
Integration

In your groups you will be provided several scenarios that have been developed as a task. Use the tools provided to you and discuss strategies with your group and develop a response.

Your response needs to be thorough and include links to international standards and an outline of how you would present the information.

Note to Instructor: Several scenarios have been developed that are attached as an Annex for Activity 5. All scenarios are either taken from the OHCHR’s Human Rights and Prisons: Manual on Human Rights Training for Prison Officials or developed from the field experiences of the authors of this training manual. Each scenario will challenge groups to research and apply the SMRs and training material they have been provided with. Although there are no correct answers, each response should link to international standards and provide practical methods for applying those standards.

The scenarios provided are examples; the instructor can create other scenarios.

As an option, the instructor may role-play each response with the group. This allows the participants to become familiar with using international terminology and reference important standards. This process will also allow the instructor to press participants for further explanation or re-route their thought processes.

Please refer to Activity 5 attached to this module for the case scenarios.
Points to Remember
(In Summary)

- Guidance on good prison practice and on human rights standards related to prisons is contained in a number of United Nations instruments.
- There is no template for prison development in post-conflict settings.
- Prioritization of activities is not easy and must build on local priorities, taking as a reference United Nations standards.
- There is a need to put aside your own national prison service priorities.
- There is a need for organization in your approach.

Note to Instructor: In summary, the concept of human rights and prison standards creates the foundation for all international corrections officers. This module was intended to teach the fundamentals of the treatment of prisoners and responsible methods of prison management without taking into consideration region- or country-specific realities. However, the instructor should add region or country-specific examples if they are applicable to the participant group.
Activity 4: SMR Role Play

This exercise is designed to reinforce the learning from STM Unit 4 Human Rights Approach to Corrections Management, as well as involve negotiation and mediation skills and expand your experience as a mentor and adviser in a mission area.

Scenario
As a seconded corrections officer you have been deployed to a new mission area. The mandate suggests that the mission will be active for approximately two years. There seems to be a lot of support for this mission, given that the crisis has received a lot of international media coverage. The resolution clearly specifies the need to strengthen the rule of law and in particular focus on the state of the prisons. There is no relevant local legislation pertaining to prisons and the current prison infrastructure and administration is almost non-existent. You are starting from nothing.

There seems to be a virtually unlimited amount of money from various sources but finding local expertise in prison management seems to be a very big problem. Therefore you need to prioritize your activities (or recommended activities) in order to help the nation State meet the international prison standards. Keep in mind the numerous agendas (politics) at play, the lack of experts to help you and the amount of time you have according to the mandate.

Key points for the scenario:
- The region is unstable.
- Your overall objective is to establish a legitimate prison based on international standards.
- The prison service in the mission is non-existent (infrastructure, administration, operations and reintegration).
- Women and children are an international priority.
- You are working in a very traditional Muslim country.
- In order to access funding you need to support the agendas of the donor group.
- You need to advocate for the organization you work for or you can lose your job (be terminated).
- Consider that your projects need to be sustainable over the long term.
- LOCAL OWNERSHIP!!!!

This is a stakeholders’ donor meeting. This is the group that needs to agree upon ten projects to complete within the two-year mission mandate (each project represents one of the rules from the SMRs). Those attending this stakeholders’ meeting are:
- Local governmental representative
- Seconded United Nations DPKO corrections officer
- NGO working on women and children’s rights
- Bilateral donor
Local Governmental Representative
You are a high official of the newly established Ministry of Justice. **You are responsible for prisons and nothing can happen without your approval.**
You are new to the job and don’t know a lot about prisons and prison standards. You know that your country doesn’t have any legislation pertaining to prisons, therefore you need to rely on international prison standards as the foundation for all prison activities.

You know that the bilateral donor is there because of their interest in your country’s oil deposits and this makes you suspicious. But you also know that the political relationship with the bilateral donor is important and that they bring a lot of resources to the table for quick results.

You have been ordered by the President to “fix” the prisons. You have no resources (people or money) and no expertise in prisons but you need to produce results. Your President made it clear that you need to focus on health issues because disease is a huge issue in your country and especially among those detained.

You don’t know much about prison standards so you need to rely on the United Nations corrections officer for advice.
Seconded United Nations DPKO corrections officer
You are the **correction expert** – all others around the table are not. You are the one who understands prison administration and prison operations. You have the complete overview of international prison standards and need to ensure that these standards are being met in the best possible way. You know the essential components of a **safe, secure and humane** prison.

You must ensure sustainability in what you do. The prison must function after you leave.

You don’t agree with the bilateral donor who is pushing only prison security.
NGO Working on Women and Children’s Rights
You are not a prison expert but you are passionate about women and children’s rights and know of the horrible things that are happening to women and children in existing prisons. Your NGO has a lot of funding available from international organizations (UN Women, UNICEF) to support the development of women’s rights in the country. However, your funding can only be used for enhancing prison conditions for women and children. You cannot use your funding for any other purposes.

Your NGO is very well respected in the community and you are able to mobilize it to support your projects if required. Your reputation in the community can also lead to very productive and sustainable relationships with other local community groups and influential individuals. Because the rights of women and children are an international priority, the international community has agreed to assist funding additional projects in the future.
Bilateral Donor
Your country has a huge interest in this unstable region because reports claim that this region has massive oil deposits. Your country was already involved in judicial and police reform projects in the region but has now decided to focus on prison reform. Your country believes that once the justice sector is strengthened people will feel safer and the region will stabilize, which in turn will facilitate commercial exchanges.

You come into the meeting **confident** because you have money and resources and can mobilize them quickly. However, you are only interested in focusing on making prisons safe places. You want a quick solution to prison reform and you believe this is through high walls, security equipment and prisoner discipline. You wish only to support initiatives that will enhance security, good order and control, and discipline and punishment.
Activity 3 (Part 1): Prioritization of Actions

Cut out all articles below from the Standard Minimum Rules for the Treatment of Prisoners (SMRs) and provide to each group to prioritize into three groupings of the priorities to address first, second and third). As a facilitator, walk between the groups and listen to the discussions. Make it clear that not all the articles can be placed into the “address first” grouping.

Once complete, tell the groups that now they need to reduce the number of articles in the “address first” grouping to five articles. This will provoke additional discussion on the individual values placed on the articles.

Debrief all groups by having them read out which five they agreed upon. This is a very subjective exercise but the majority of groups should have agreed upon: provision of water; provision of food; and prohibition of torture. These three articles are important because of their relation to preservation of life and the international stand on torture (Convention against Torture). The other two articles identified need to be defined (what does that particular article mean) and rationalized by each group. In most cases, groups will emphasize that all articles are interdependent and will have taken an interesting approach as to why they chose the articles they did.
Access to religious material and spiritual leaders

Freedom of expression and language

Provision of water

Provision of food

Separations of detainees and sentenced prisoners

Access to sanitary facilities

Protection against cruel and unusual treatment (use of dark isolation, restricted diets, etc.)

Prohibition of torture

Medical screening at time of admission
Medical treatment for prisoners with contagious disease

Access to a dentist

Admission briefing to all new prisoners (told of the rules, services and avenues of communication)

Access to daily shower

Registration book (verification of warrant and key data on prisoner)

Adequate living space with appropriate ventilation and lighting

Access to clean bedding weekly

Access to institutional clothing

Ability to provide own clothing from the outside
Facilities to wash clothing and bedding

Fair standards of prisoner discipline

Regular prisoner visitation with friends and family

Independent prison inspections

Development of staff discipline process

Basic security training for staff

Policy on use of force

Training on appropriate use of force

Prisoner access to legal support
Special medical attention and nutrition for pregnant women

Opportunity for at least one hour’s fresh-air exercise

Opportunity for at least one hour’s open-air exercise

Development of structured activities for juvenile prisoners

Development of prisoner work programmes

Development of prisoner pre-release programmes and support

Physical infrastructure (solid walls/cells)

Careful selection of prison staff who possess an adequate standard of education and intelligence
Qualified prison director trained as a manager, dedicated to his/her job and familiar with human rights standards

Access to sanitary and hygiene products for women

Women housed in prisons close to their home or place of social rehabilitation

Women officers for the care and custody of female prisoners and specially trained to conduct searches of female prisoners
Preparatory Notes to Instructor

Background

It is essential that the work of corrections components is linked to the work of other relevant mission components to ensure programme coherency and synchronicity of activities. These linkages will influence the long-term sustainability of the corrections reform efforts. In addition, the protection of vulnerable groups such as women and children require that the corrections components work closely with the child protection, human rights and gender components of the mission.

The overall objectives of a United Nations mission cannot be achieved by working independently and will only result in largely ineffective outcomes.

In order for all mission components, donors, national and international organizations to share a common understanding, early clarification of the mandated activities of the corrections component should be undertaken with each of other components in the mission. This should be done through regional meetings, mission coordination meetings or bilateral meetings. These meetings should also include information on the overall approach and concept of operations adopted by the corrections component, including how the component intends to work with the government on issues such as the provision of resources to comply with its human rights obligations and meet immediate humanitarian and security needs. It is important that the potential for national corrections staff to be inadvertently provided with incorrect information about potential mission support is minimized.1

Aim

To provide participants with a working knowledge of the role and relationship of relevant partners in order for good coordination and responsible resource allocation.

Learning Outcomes

On completion of this module, Cooperation and Coordination with Key Partners, participants will be able to:

• Understand the meaning of local ownership and its importance for the success of any mission;
• Promote the need for investments in corrections, especially in post-conflict countries;
• Identify and engage relevant partners (national and international), within the mission and external to the mission;
• Understand the role of monitoring entities.

Training Sequence
The material contained in this lesson could be delivered over two sessions. The instructor can modify the duration to suit national training requirements and adapt the subject matter to reflect the comprehension level of the students.

This lesson plan provides an overview of the key partners of the corrections component, their roles and ways of contacting them. It is best delivered after STM Unit 1 Corrections Support in Peacekeeping, STM Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of United Nations Corrections Support, and STM Unit 4 Human Rights Approach to Corrections Management. It links to the STM Unit 7 Mentoring and Advising and STM Unit 8 Project Management.

Duration

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>90 minutes</td>
<td>45 minutes</td>
<td>15 minutes</td>
<td>30 minutes</td>
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</table>

Methodology
This module is predominantly an information session, however, it can be used to start the process of correction officers thinking about the roles of their key partners, and how to contact and engage them. The facilitation team should allow as much interaction as possible and encourage discussion. Where participants have mission experience, the instructors should encourage them to share their experience. It may prove useful to ask questions such as: Which partners did you work with? Who could help with what? What are the benefits of cooperation and coordination?

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.
Structure of Session

- Why cooperation and coordination?
- Repercussions of lack of cooperation and coordination
- National authorities
- Criminal justice system partners
- Other governmental departments
- Civil society
- United Nations partners
- Non-governmental organizations (NGOs)
- Donors
- Monitoring entities
- Summary and assessment questions

Please Note:

- It is up to the learning institution to decide whether the learning outcome assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.
- Instructors are encouraged to add examples and mission-specific information from their own experience, where appropriate.

Instructor Profile

This module is best presented by an instructor who has mission experience and could share his/her experience with the group. If there is more than one instructor, at least one should have practical experience. The instructor should also encourage questions from the participants and aim for an interactive discussion. All participants should be encouraged to contribute to the group discussions. Where possible, some practical examples should be provided to promote discussion.
Instructor Preparations

Required Readings

The following are relevant United Nations references on peacekeeping:


General Preparations

Equipment and materials:

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
Symbols Legend

擤 Note to Instructor (Background information for consideration)

蔃 Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

 AVCapture Mission Specific (A point where the session will benefit from mission-specific information)

قرأ Example (Stories that illustrate a point or key message)

？ Sample questions (A list of potential questions to pose to participants)

يتها Handout (Indicates a handout is provided to participants at this point)

💧 Film (A film that is recommended as a core part of the training or an option)

Ⓗ Core Learning Activity (An activity that is strongly recommended for inclusion)

₊ Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

キー Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed.)
Session Notes

Cooperation and Coordination with Key Partners  

Note to Instructor: Give the participants a brief explanation as to why they should pay special attention to this module. Refer to Background in the Preparatory Notes to the Instructor above, and reflect back on CPTM Unit 3 (Effective Mandate Implementation), Part 2 (Working with Mission Partners).

Aim

- A working knowledge of the role and relationship of relevant partners in order for good coordination and responsible resource allocation

Learning Outcomes

On completion of this module, participants will be able to:

- Understand the meaning of local ownership and its importance for the success of any mission;
- Promote the need for investments in corrections, especially in post-conflict countries;
- Identify and engage relevant partners (national and international);
- Understand the role of monitoring agencies.

Note to Instructor: Introduce the session by letting participants know the aims of the unit and intended learning outcomes for the module.
Structure of Session

- Why cooperation and coordination?
- Repercussions of lack of cooperation and coordination
- National authorities
- Criminal justice system partners
- Other governmental departments
- Civil society
- United Nations partners
- Non-governmental organizations (NGOs)
- Donors
- Monitoring agencies
- Summary and assessment questions

Why Cooperation and Coordination?

Note to Instructor: Brainstorm with participants as to why cooperation and coordination is important and brainstorm the possible roles of different organizations and how they can assist the corrections component.

Expected Outcome

The most important factor for the corrections component to be able to show results-based achievements is to have the ability to establish strong relationships with both national and international counterparts. These relationships will enable you to identify and support national reform, focus international attention on the needs of the judicial sector and the corrections service, and draw upon expertise and resources that are not otherwise available to the national corrections service. Building these relationships is one of the first things the corrections component should begin to do upon the establishment of the mission, and maintaining these relationships is an ongoing job throughout the life of the operation.
Note to Instructor: Instructors are encouraged to provide a personal example from the field that demonstrates the impact of poor cooperation and coordination among various stakeholders. Ask participants for some other examples of what they think could be the result of cooperation and coordination.

How to Establish Networks and Key Partnerships

Note to Instructor: Brainstorm with participants on how networks and key partnerships can be established. Corrections officers often find it challenging to establish networks and partnerships at the onset of their mission. This is particularly true when there is a lack of a handover process.

Note to Instructor: The following slides will identify possible partners in the field.

Criminal Justice System Partners
- Police
- Judicial and legal system
- Human rights and gender units
- Child protection and juvenile justice

Recognition of the interdependence of the elements of the criminal justice system is critical to the effective strengthening of any corrections system. The DPKO Policy Directive on Prison Support in United Nations Peacekeeping Operations (2005) recognizes and encourages the importance of working in an integrated manner with the other components of the criminal justice system and their national counterparts, as well as with units dealing with cross-cutting
issues, particularly human rights, child protection advisers and units in peacekeeping missions and gender units. Those components include members from both international and national agencies, namely:

- Police;
- Judicial and legal system;
- Human rights components;
- Gender units;
- Child protection and juvenile justice.

**Note to Instructor**: Although only criminal justice system partners are brought up in the slide, make sure to highlight other similar partners like security actors (i.e. military, immigration services, border services).

**Core Learning Activity**

The purpose of this group discussion activity is to raise the awareness of participants on the importance of interacting with other partners in order to achieve the objectives of the corrections component in the mission.

**Learning Activity Time Required**

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity Description</th>
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<tbody>
<tr>
<td>5 minutes</td>
<td>activity introduction and instructions</td>
</tr>
<tr>
<td>10 minutes</td>
<td>working in small groups for discussion</td>
</tr>
<tr>
<td>15 minutes</td>
<td>small groups reporting to larger group</td>
</tr>
<tr>
<td><strong>Total time:</strong></td>
<td><strong>30 minutes</strong> total time dependent on number of small groups</td>
</tr>
</tbody>
</table>

**Activity Guidelines**

1. If not already done, divide the participants into groups not exceeding five people.
2. Ask each group to identify not more than five key issues on which cooperation with partners mentioned in the previous slide is vital for the success of the mission.

3. Ask the participants to present their results in the plenary.

Note to Instructor: If the instructor has their own examples on problems that they themselves have solved with the help of any of these partners, they are encouraged to use these and to elaborate a bit on this topic drawing on their own experience, and on the experiences among the participants.

Expected Outcome

The identification of key issues similar to the ones provided as examples below:

- Conditions of detention
- Prolonged pretrial detention
- Overcrowding of correctional facilities
- Alternatives to imprisonment
- Transfers of prisoners, juvenile and adult, from police custody to the prison system
- Transfers of juveniles from adult prisons to juvenile justice facilities
- Provision of external security to correctional facilities
- Emergency responses
- Intelligence issues
- Development of national corrections legislation

Recognition of the interdependence of the components of the criminal justice system is critical to the effective strengthening of any corrections system. Cooperation with international and national police and judicial/legal system personnel concerning mutually dependent issues, including overcrowding, pretrial detention, transfers of juvenile and adult prisoners, conditions of imprisonment, and emergency response strategies is essential.
**Note to Instructor:** Have participants brainstorm examples of various additional government bodies that are stakeholders in a country’s prison sector.

It is also important that the national corrections staff and mission corrections components develop effective working relationships with key departments and, where necessary, establish formal arrangements with other government agencies to coordinate the provision of services.

**Expected Outcome**

Participants should come up with some of the following examples:

- **Finance and treasury** (corrections system operating and capital works budgets)
- **Public sector commission** (human resource policies for civil servants)
- **Education** (educational programmes for prisoners and, if necessary, staff)
- **Health** (health screening of prisoners and staff, first aid supplies)
- **Human rights** (monitoring correctional facility conditions, providing staff and prisoner training)
- **Women’s affairs** (including gender issues)
- **Juvenile justice and child protection** (services for juvenile offenders, children in correctional facilities)
- **Social welfare and child protection services** (children below minimum age of criminal responsibility, as well as those in need of care and protection, i.e. not accused of a crime)
- **Labour** (training and job placement for prisoners)
- **Ombudsman and/or national Human Rights Commission** (monitoring of conditions of detention)

**National Ownership**

- Country context (political, social, economic, cultural)
- National priorities
- Legitimacy
- Sustainability
Note to Instructor: Focus and elaborate around national ownership.

What can be some of the consequences if you do not keep this in mind and act accordingly? Divide into groups, ask each group to discuss (10 minutes) and come up with three outcomes for if the concept of national ownership is not respected. Present results in plenary.

Expected Outcome

The effectiveness and sustainability of any international support is dependent on all major initiatives being consistent with the national government’s priorities and supported by the national corrections authority.

If not properly communicated and agreed upon, actions and activities carried out by the mission that are intended to strengthen the national corrections system might have the opposite effect and be ignored once the mission phases out.

Identification of priorities can be difficult in the immediate post-conflict situation, particularly when national aspirations concerning the corrections system are not reflected in any peace agreement, the transitional government is an interim government, the corrections system has not been a government priority, and the linkage between the corrections system and peace and security is not well understood. The Department of Peacekeeping Operations (DPKO) recognizes these difficulties and actively addresses the complexities of this environment by engaging in ongoing dialogue with a wide range of national actors, key donors and active engagement with national leadership.

Providing advice and support to national authorities and other stakeholders is a primary objective of the corrections component. The most significant counterpart and partner of the peacekeeping operation will be the national authorities of the host country. To be effective in approaching these partnerships, you will need a firm understanding of the political and social backgrounds of these counterparts. National staff, as well as international staff with in-depth knowledge of the country, can be key to developing these linkages and to understanding the local situation.

Establishing credibility and trust with national government officials, senior national corrections experts and staff, and throughout civil society is essential. During the conflict phase, and perhaps in earlier phases, corrections institutions may have been places that were feared by the community because they were used as state instruments to make dissidents “disappear”, or as places where ill-treatment and torture were practised, or places that were not managed in an
open and transparent manner. The existing historical and cultural understanding of corrections institutions in each mission area will shape the expectations of national staff towards any United Nations intervention, and therefore, must be taken into account.

In this environment it is essential that, at the outset of a mission, both mission management and heads of corrections components clarify with national authorities the nature and extent of support which can be provided by the mission to the national corrections system. Experience demonstrates that initial expectations of the national government, civil society (including NGOs working within the corrections system), staff and other agencies, concerning the role of the mission corrections component, can be unrealistic and result in difficult relationships.

Civil Society

Civil society includes non-profit, organized groups, clubs and associations in society that operate independently from the government and the state (e.g. universities, NGOs, organized local communities and trade unions). Civil society can be organized at the local, national and international level. It is essential that effective working relationships are established with civil society in any community and, particularly, a post-conflict community, since it can heavily influence the direction of support to the development of the national corrections system.

Note to Instructor: The publication entitled Guidance Notes on Prison Reform, Guidance Note No. 12, which encourages the involvement of civil society, provides useful guidance on this topic. The publication is accessible at http://www.prisonstudies.org.

Engagement of Civil Society – Where local, national and international organizations are supporting or interested in supporting the corrections system, the establishment of a stakeholders’ forum, led by the national corrections authority, can be a useful strategy for engaging civil society and expanding the
resources available to the corrections system. The national corrections authorities should be encouraged, as part of the strategic planning process, to establish a plan for working with civil society. At a minimum, the plan should include:

- The appointment of national staff to establish and coordinate linkages and relationships with civil society;
- Provision for an orientation session for individuals and organizations who wish to work in the corrections system or with the corrections system, which includes information about:
  - The role and organization of the corrections system;
  - Prison policy and procedures which impact on volunteers and visitors;
  - Potential roles for civil society groups;
  - Key challenges confronting the corrections system which civil society groups may be able to address;
  - Support which may be provided by civil society, for example equipment and supplies (catering, bedding, clothing), development and implementation of prisoner programmes (education, health, vocational, recreational), services for prisoners’ families (transportation to visit detained persons);
  - Security and administrative protocols and arrangements.

Identification of Stakeholders – Stakeholders are any group or individuals with a vested interest in the corrections system. In addition to governmental bodies, the following groups may have an interest in working with the corrections system:

- Human rights organizations;
- Faith-based organizations;
- NGOs specifically working with prisoners (for example prisoner support and penal reform organizations, women’s groups, community legal aid services);
- Families of prisoners – this is an often overlooked group because they are generally not organized, however, prisoner support groups can be developed from this constituency;
- Traditional elders and their communities;
- Special interest groups (for example HIV/AIDS support groups, victims of crime);
• Business organizations and trade unions interested in developing workers; skills.

### United Nations Partners

- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Development Programme (UNDP)
- United Nations Office of Drugs and Crime (UNODC)
- United Nations Children’s Fund (UNICEF)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- UNAIDS
- World Health Organization (WHO)
- UNOPS
- Office for the Coordination of Humanitarian Affairs (OCHA)
- United Nations Country Team (UNCT)

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**Note to Instructor:** Reflect back to CPTM Unit 3 (Effective Mandate Implementation), Part 2 (Working with Mission Partners), where the broader perspective of the UNCT is addressed.

The corrections support unit should be particularly sensitive to any United Nations presence prior to the establishment of the mission, as country team personnel often will have relevant knowledge and expertise (including experience not directly related to the corrections system but which can provide a vital picture of the context in which it exists).

Potential United Nations system partners in any mission area include UNDP, UNODC, UNICEF, UNAIDS, WHO, UNOPS, UN Women, OHCHR and OCHA. The importance of these actors is that they each have mandates which permit their involvement in post-conflict environments beyond that of the peacekeeping operation. Their early involvement can therefore enhance the effectiveness of long-term programmes, by creating the potential for a seamless transition between mission-led initiatives and agency support programmes.
Office of the High Commissioner for Human Rights (OHCHR) – Provides guidance, support and expertise to human rights components in peace operations and has developed methodological tools and materials that can be adapted to the local context and needs. Of particular relevance is Human Rights and Prisons: A Human Rights Package for Prison Officials, included in the suggested reading materials for this course/module.

Note to Instructor: The package can be requested at publications@ohchr.org or can be downloaded from: http://www.ohchr.org/EN/PublicationsResources/Pages/TrainingEducation.aspx

United Nations Development Programme (UNDP) – UNDP has provided support for judicial, legal systems and corrections systems in peacekeeping operations. UNDP has created Thematic Trust Funds which have been used to support the improvement of prison conditions. Please visit www.undp.org.

United Nations Office on Drugs and Crime (UNODC) – UNODC promotes the rule of law, including in countries emerging from conflict, is one of the core functions in the UNODC mandate. The organization has a pool of qualified professional expertise in criminal justice issues. In addition, UNODC has, over the years, developed an extensive network of criminal justice professionals and scholars representing different regions, legal systems, linguistic and cultural backgrounds.

This office provides assistance to countries at both an operational and strategic level. Operationally, UNODC assists countries in rebuilding or strengthening the capacity of their criminal justice system to operate more effectively within the rule of law by providing needs assessment, legal and policy advice, training and technical assistance through project development and implementation. At the strategic level, UNODC promotes the development of standards and norms in crime prevention and criminal justice and assists their implementation in post-conflict and development environments. Programmes range from the general area of justice reform, including juvenile justice, penal reform, restorative justice, and alternatives to imprisonment, to the prevention of and fight against serious crimes, such as transnational organized crime, corruption, drug trafficking, human trafficking and terrorism.

The office has been instrumental in the negotiation and adoption of five new international legal instruments: the United Nations Convention against Transnational Organized Crime (and its three supplementing Protocols), and the United Nations Convention against Corruption. In past years, UNODC has been active in the context of several United Nations peacekeeping operations. Interventions and activities have included assistance in drafting new legislation or the revision of the existing legislation; developing codes of conduct,
guidelines and best practices for relevant criminal justice officials (e.g. judges, prosecutors, law enforcement, etc); and implementation of corrections system capacity programmes. UNODC also helped to develop basic training manuals for corrections officers during United Nations peacekeeping operations in Somalia, Bosnia and Herzegovina and the South Sudan.

**United Nations Children’s Fund (UNICEF)** – UNICEF works closely with the United Nations system, government and international and local partners around key child protection issues, all of which have direct relevance to efforts to re-establish the rule of law within a human rights framework. For the corrections system, UNICEF supports the development of appropriate and sensitive mechanisms which avoid subjecting children unnecessarily to the criminal justice system or special courts.

It promotes access to legal aid for vulnerable groups in pretrial, in-court and at post-trial stages. UNICEF is contributing to the establishment of child-friendly courts and police procedures, relevant in both criminal and non-criminal circumstances.

**UN Women**

UN Women is the United Nations organization dedicated to gender equality and the empowerment of women. UN Women provides financial and technical assistance to innovative programmes and strategies that foster women’s empowerment and gender equality. Placing the advancement of women’s human rights at the centre of its efforts, UN Women focuses on four strategic areas: 1) reducing poverty as it impacts on women; 2) ending violence against women; 3) reversing the spread of HIV/AIDS among women and girls; and 4) achieving gender equality in democratic governance in times of peace as well as war.

UN Women is a partner in working towards a prison system where women are, as set out in international conventions, held separate from the male prisoners. There are numerous examples of where the needs of women in corrections facilities are being overlooked (e.g. Democratic Republic of the Congo, where male prisoners killed two prison staff and raped 20 female prisoners).

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2 In July 2010, the United Nations General Assembly created UN Women, the United Nations Entity for Gender Equality and the Empowerment of Women. It merges and builds on the important work of four previously distinct parts of the UN system, which focused exclusively on gender equality and women's empowerment: 1) Division for the Advancement of Women (DAW); (2) International Research and Training Institute for the Advancement of Women (INSTRAW); 3) Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI); 4) United Nations Development Fund for Women (UNIFEM).
Non-Governmental Organizations (NGOs)

- National
- International

Note to Instructor: Here you are encouraged to use examples from your own mission experience (providing examples of NGOs present in the mission(s) where you were active and how they were able to help the corrections system).

National NGOs that have supported corrections systems in post-conflict environments have included those focusing on legislative and policy reform, including prisoner advocacy, human rights, provision of legal aid, provision of resettlement services, education and training, services for juveniles, and provision of religious support. In addition to national staff, the local Council of Churches (or equivalent), bar association, well-established international NGOs and national human rights organizations may assist in identifying specific local NGOs and contacts within these organizations. It is often preferable that national governments formalize relationships with these organizations so that the work of the agency is continuous and not ad hoc.

Issues to address when seeking the support of NGOs, both national and international, include:

- Provision of orientation briefings by national corrections staff which address corrections philosophy, practice and procedures, the overall state of the corrections system, security issues and arrangements, strategic development plan, current plans and programmes being undertaken by the national government, and other donors, including NGOs;
- Coordination of activities and transparency of activity;
- Vetting and training of volunteers who have direct contact with prisoners;
- Capacity to provide relevant services and support to the corrections system including capacity to attract funding.
Correctional services in post-conflict countries are generally poorly funded. The national government is typically responsible for corrections management (for example salaries, administration, operations). However, without donor assistance, the corrections service would most likely not have adequate resources to function.

Donors

Engagement of donors is one of the key activities of corrections components in all missions since the corrections system requires considerable investment to create (and maintain) a humane, safe and secure environment. Investment in the rehabilitation of infrastructure, equipment, transport and communications, and staff training are resource needs to which donors may be responsive. It should be noted that supporting corrections systems has not been an area of high donor interest, and therefore corrections components will need to actively seek such support. Donors supporting the judicial and legal system and the police sector may be more responsive. The Office of the Special Representative of the Secretary-General (SRSG) may also assist in mobilizing donor support and drawing their attention to the corrections sector at conferences and other public/political forums. Providing regular, updated project proposal information to the Office of the SRSG will assist in obtaining this kind of support.

Donor assistance comes in various forms and has a range of advantages and drawbacks. Common forms of donor assistance include:

- **Personnel** (consultant technical experts and government secondments);
- **Equipment** (vehicles, specialized equipment, second-hand or surplus equipment, etc.);
- **Contracted goods and services** (donor contracts a third-party organization to undertake specified activities on behalf of the United Nations host country, e.g. rehabilitation of infrastructure);
- **Cash** – particularly in the early phases of a crisis response, but often harder to obtain later on.

In many cases, donor governments may send their own technical teams to assess the situation. In this case, a DPKO mission corrections representative
should seek to be a key team member. Key national corrections staff should also be included as part of the team to provide a local frame of reference and historical information. National corrections staff should not be relied on merely as interpreters but as substantive and contributing team members. In the early days of a post-conflict environment, some donors will have very rapid disbursement funds which can be useful for corrections systems that may require significant immediate funds to repair corrections infrastructure and purchase equipment. By the efficient, result-oriented and well-accounted use of early funding sources, corrections components can prove their credibility as reliable recipients of rapid disbursement of funds. Usually, repeated requests for funding are subjected to greater scrutiny and will need to be increasingly based on clear priorities set by the host country and its donor aid-coordinating entities.

Donors often prefer to fund discrete interventions that do not entail long-term and open-ended commitments. For example, while donors may be prepared to fund the rehabilitation of corrections infrastructure, they may not fund its operating costs (it is often cited that capital injections for reconstruction comprise approximately 15 percent of the total cost of a corrections facility given a lifetime of 25–30 years). Donors are unlikely to take on the long-term operating costs of the facilities and thus discussions between donors and the Ministry of Finance about the recurrent cost implications of donor assistance should be done before it is accepted. Donors may themselves press the government to see a sustainability strategy before providing support. In any case, it is essential that there is clear evidence that the equipment and staff operating costs which will necessarily be incurred in utilizing the facility are able to be met in the longer term prior to any donor proposal being accepted.

**Host country** – At the earliest phase of the mission, the political role of the SRSG’s office in advocating for the allocation of sufficient resources should not be underestimated. It is important that, as soon as a national budget is identified and a planning process instituted, the national and international corrections experts familiarize themselves with the budget process and relevant individuals in the ministry who are responsible for managing the corrections portfolio.

Arguments should be put forward for the creation of a separate appropriation to the corrections service under the national budgetary allocations. (It is in the interest of other departments to have corrections in a separate budget category because the corrections service generally consumes a large portion of a department’s allocated funding, and separation provides a better indication of future needs.) These arguments may relate to: the link between corrections and peace and security, the crisis management impact of high-profile and mass breakouts, the necessity of supporting the investment in the development of
police and judicial systems, and the fact that funds can be spent quickly with visible and real impact.

National corrections departments may choose to develop partnerships with corrections services of other nations. Such an arrangement might help to provide training material, security and other equipment, staff exchange programmes, etc. Regard should be had for sustainability of supply, compatibility of equipment, particularly security and communications equipment, and in-country capacity to service donated equipment.

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A key element of a mission’s corrections component is working with the national corrections system to develop arrangements for assessing its compliance with applicable human rights standards.

The national government may establish its own national monitoring entities and mechanisms. Such mechanisms may include:

- **Ombudsman office**: A non-governmental complaint investigator, especially responsible for investigating and resolving complaints against organizations and government departments, with respect to human rights violations.

- **National commission on human rights**: A national body set up to investigate, promote and/or protect human rights by:
  - Drawing the attention of the government to situations in the country where human rights are being violated and proposing initiatives to put an end to these, where necessary, and expressing an opinion on the positions and reactions of the government.\(^3\) Such bodies should be independent and operate without interference as stipulated in the Paris Principles.

- **Parliamentary commission of inquiry**: A group established by the parliament, president or prime minister to investigate various matters as

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designated by their terms of reference and report their findings to the appropriate minister.

- **Independent inspectorate**: An independent person or group of people appointed by either the government or the corrections department to monitor the prison system and investigate complaints. These bodies compile reports for the head of the corrections system and/or the minister responsible.

- **Political prisoners commission**: A commission established to review people incarcerated not for criminal activities but for political reasons, criticism or opposition to the government.

- **Judges**: Judges are empowered under legislation in some countries to regularly visit prisons for the purpose of inspecting prison conditions, ensuring prisoners’ rights are being maintained and listening to complaints from prisoners.

- The judiciary and/or prosecution implements and oversees the criminal law in regard to violations by prison officials.

**Note to Instructor**: The Paris Principles outline the composition of national commissions, including how guarantees of independence and pluralism can be maintained. Time permitting, read and discuss these with the participants.

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**Internal Mission Coordination**

The independent monitoring of detention facilities, conditions and management practices in corrections institutions for compliance with international human rights norms and standards is the responsibility of the human rights component. Human rights findings and analysis are important to inform the activities of DPKO corrections officers, including mentoring and capacity building.

Monitoring aspects of conditions and management of corrections institutions may also be undertaken by the child protection units in the mission, though not all peace operations have one.

Effective working relations between human rights and corrections officers, exchange of information, including on human rights violations witnessed by corrections officers, and joint advocacy (for example on corrections system reform) are fundamental to capitalize on synergies and ensure consistent mission communication with host-country authorities, in line with the
Corrections Monitoring

Guidelines for conducting corrections monitoring have been published by OHCHR, UNODC and the International Committee of the Red Cross (ICRC). Copies can be obtained from:

- OHCHR at: publications@ohchr.org
- UNODC at: [http://www.unodc.org](http://www.unodc.org) (conduct a search)
- ICRC at: [http://www.icrc.org](http://www.icrc.org)

The following are effective strategies that can assist national corrections staff to engage with national human rights monitoring agencies:

- Support national staff in the development of relevant briefings to educate monitoring agencies on corrections practices (e.g. basic security procedures, corrections standards and procedures such as discipline and visiting).
- Develop an agreed approach to gather information and report.
International Committee of the Red Cross (ICRC)
The ICRC has a legal mandate from the international community. That mandate has two sources:

- The 1949 Geneva Conventions, which task the ICRC with visiting prisoners, organizing relief operations, reuniting separated families and similar humanitarian activities during armed conflicts;
- The Statutes of the International Red Cross and Red Crescent Movement, which encourage it to undertake similar work in situations of internal violence, where the Geneva Conventions do not apply.

Note to Instructor: Refer back to CPTM Unit 2 (The Establishment and Functioning of United Nations Peacekeeping Operations), Part 3.

After the wounded and the sick, prisoners and detainees are historically the third category of persons with whom the ICRC has been concerned. It has a specific mandate for prisoners of war and civilian internees in international armed conflict, and a long and recognized history of visiting persons deprived of freedom in relation with non-international conflict or other situations of violence.

ICRC’s Main Objectives
The ICRC’s activities on behalf of prisoners have four main objectives:

- To prevent or put a stop to disappearances and extra-judicial killings;
- To prevent or put an end to torture and ill-treatment;
- To improve conditions of detention where necessary;
- To restore contact between detainees and their families.

Experience has shown that visiting corrections institutions and having private interviews with the detainees is instrumental in assessing the situation, the
problems and the needs of detainees, and, on this base, developing appropriate responses to prevent, among other things, the occurrence of abuse.

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**ICRC’s Neutrality**

The ICRC is an independent and neutral organization and will not share confidential information (for example about the content of its findings in places of detention or the substance of its dialogue with the detaining authorities) or conduct joint visits to corrections institutions.

ICRC reports to authorities are confidential and cannot be made public by authorities without being given prior consent by the ICRC.

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It is, however, good practice to meet on an informal basis and share general and non-confidential information in order to avoid overlap and harmonize vision of problems (avoid counterproductive effects on authorities). A best practice is to share corrections-related reports and strategic plans with ICRC to keep them informed of United Nations activities.

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**Maintaining Partnerships**

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**Note to Instructor:** Brainstorm with participants on the reasons why it’s important to maintain partnerships and how this can be accomplished.

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**Expected Outcomes**

The following are examples that should be described to explain why establishing and maintaining partnerships is important:
Extensive networks provide diverse perspectives (knowledgeable decision making);
Extensive networks offer greater access to resources (e.g. projects may require multiple donors or funding sources);
Expanding your network provides a better understanding of the bigger peacekeeping picture, including establishing priority;
Extensive partnerships promote legitimacy and sustainability.

The following are examples that should be described to explain how to maintain partnerships:

- Consult with partners on issues of interest;
- Provide regular updates and information on initiatives;
- Respect varying agendas and/or perspectives;
- Credit partners for the support and services they provide;
- Diplomacy and professionalism at all times.

Questions and Discussion

Note to Instructor: Before proceeding to the assessment questions be sure to ask the participants if they have any questions.

Learning Outcome Assessment

It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.

At the end of this unit and/or the conclusion of all the STM units, instructors may want to choose some of the following questions for review.

1. Why is the concept of cooperation and coordination important in corrections support?
2. Why is national ownership important and how can you promote the concept?
3. Give five examples of stakeholders and how to engage them.
4. What is the importance of monitoring bodies?
5. What is the mandate of the ICRC?
# UNIT 6
## Report Writing

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Preparatory Notes to Instructor

Background
Reports are crucial for all entities within the United Nations system as they represent key information-sharing tools which facilitate decision-making. The way that reports are written will impact on their utility. Overall, a synchronized reporting system which streamlines reports, making them more efficient, supports the reform, restructuring and rebuilding (RR&R) working strategy.

United Nations corrections officers not only need to have a good understanding of the United Nations reporting system, but they must also have the skills required to write a good report, information from which will feed into the overall reports and briefing of the corrections components.

Since corrections officers need to work with various counterparts in the mission, it is important to realize that reporting structures may vary among missions. The content of this module covers a standard reporting structure and incorporates the typical reports found in the majority of Department of Peacekeeping Operations (DPKO) missions.

Aim
- To familiarize participants with the United Nations reporting structure and the types of reports (format and content) required in a typical mission;
- To provide an overview and expectations of basic report writing guidelines.

Learning Outcomes
On completion of this module, Report Writing, participants should be able to:
- Understand the typical reporting relationships within the United Nations and United Nations missions;
- Understand the value of report writing in the larger mission context;
- Understand the types of reports required in a typical mission and their respective components;
- Understand how to write a report following the basic writing guidelines;
- Explain why reports are necessary;
• Explain when reports are written;
• Draft applicable reports required in the mission, following the basic writing guidelines.

Training Sequence
This module was designed to follow module 5 in order to allow participants the opportunity to practice their writing and reporting skills. It also allows participants to incorporate knowledge from previous modules (i.e. language, concepts and context) into this module’s activities.

Duration

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>90 minutes</td>
<td>45 minutes</td>
<td>15 minutes</td>
<td>30 minutes</td>
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Methodology
This module contains a variety of suggested learning activities to keep adult learners engaged. The facilitation team should use as many of the learning activities as time allows and keep them tailored to the target audience. Participants should be fully involved in the learning process through practical exercises, brainstorming sessions, discussion of case studies, working in small groups on specific tasks, etc.

The final exercise is designed to challenge the participants to write a selected report preferably on a corrections-related scenario played out in the exercise incorporated in “A Day in a Mission Area” (ADIMA). If the ADIMA exercise is not done, participants will be required to write a report on a video or paper scenario.

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.

Structure of Session
• Introduction (why are reports important?)
• United Nations reporting structure
• United Nations, DPKO, corrections officers reports
• Writing reports
  • Effective report writing
  • Basic writing guidelines (print out standards or “reference sheet” and give to participants)
  • Quality control of reports
• Exercise in report writing
• Assessment (optional)

Instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.

Instructor Profile
This module is best presented by an instructor who has experience in peacekeeping operations and report writing, who could share his/her experience with the group.

Instructor Preparations

Required Reading
United Nations Police Handbook – identify relevant sections, make copies and use this to establish a “framework” for the participants.

Where possible, sections of the United Nations publication A guide to the drafting, processing and dispatch of official United Nations communications can also be supplied.

General Preparations
Equipment and materials
1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip charts and markers
4. Copies of handouts
Symbols Legend

Note to Instructor (Background information for consideration)

Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

Mission Specific (A point where the session will benefit from mission-specific information)

Example (Stories that illustrate a point or key message)

Sample questions (A list of potential questions to pose to participants)

Handout (Indicates a handout is provided to participants at this point)

Film (A film that is recommended as a core part of the training or an option)

Core Learning Activity (An activity that is strongly recommended for inclusion)

Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session and the instructor can then fill in any points that have been missed.)
Session Notes

The information presented in the slides below needs to be formatted and divided into presentation slides that utilize the information most effectively. You may need more than one (1) slide to present each bit of information.

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<th>Slide 1</th>
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**Note to Instructor:** Give the participants a brief explanation as to why they should pay particular attention to this module. Refer to Background in the Preparatory Notes to the Instructor above.

<table>
<thead>
<tr>
<th>Aim</th>
<th>Slide 2</th>
</tr>
</thead>
</table>
| • To familiarize participants with the United Nations reporting structure and the types of reports (format and content) required in a typical mission;  
• To provide an overview and expectations of basic report writing guidelines. |
Learning Outcomes
On completion of this module, participants will be able to:

- Understand the typical reporting relationships within the United Nations and United Nations missions;
- Understand the value of report writing in the larger mission context;
- Understand the types of reports required in a typical mission and their respective components;
- Understand how to write a report following the basic writing guidelines;
- Explain why reports are necessary;
- Explain when reports are written;
- Draft applicable reports required in the mission, following the basic writing guidelines.

Note to Instructor: Introduce the session by letting participants know the aims of the unit and intended learning outcomes for the module.

Structure of Session
- Introduction (why are reports important?)
- United Nations reporting structure
- United Nations DPKO corrections reports
- Writing reports
  - Effective report writing
  - Basic writing guidelines (print out standards or “reference sheet” and give to participants)
  - Quality control of reports
- Exercise in report writing
- Assessment (optional)
Introduction: Report Writing

- Report writing is critical for…?

Why do we need to be effective report writers?

Overview

Report writing is a means of communication through which events or incidents are made known and/or recorded. It is crucial for information sharing, decision-making and monitoring progress of activities.

Issues related to corrections officers in peacekeeping are, at times, of such a sensitive nature that they have a direct impact on decision-making. Therefore, immediate and effective communication of information is essential for informed decision-making.

Specifically, report writing is critical for:
- Communicating;
- Recording information;
- Documenting significant incidents or actions;
- Ensuring accountability and transparency;
- Assisting decision-makers and overall strategic direction;
- Justifying funding or acquiring additional resources; and
- Any other reasons?

United Nations, DPKO, Reporting Structure

- In-country reporting
- Reporting from a mission to Headquarters

In-country reporting generally includes the following components: the corrections component; various United Nations bodies with an emphasis on justice and human rights sections; national authorities; and other civil society groups.
As was discussed in STM Unit 5 Cooperation and Coordination with Key Partners, you need to know your audience (e.g. priorities, agendas) and subsequently tailor your report accordingly. Be aware of sensitive information and protocols pertaining to information security.

Note to Instructor: The instructor needs to clearly explain how inter-mission reporting makes its way to the United Nations Headquarters.

The information contained in your reports (and possibly the report itself) will progress through the mission hierarchy. It is important that you educate yourself on reporting requirements (e.g. priorities, topics of interest, consultation requirements) provided by both the operational and strategic levels of the organization.

Given approval by the head of corrections and by mission management, draft reports should be shared with other mission components, e.g. human rights. Internal consultations in the mission are important to ensure one voice on issues of corrections, and are especially critical if the report is to be shared with national authorities and other external stakeholders. The nature of the report should decide its scope for sharing with national counterparts.
Note to Instructor: The instructor should be aware (and make it known to participants) that there is a great variance in reporting requirements and protocols. The information provided in the reports is rooted in United Nations Security Council resolutions. The instructor also needs to express that variance may occur depending on position and mission.

Depending on the type of mission, corrections officers may or may not need to complete certain reports. For instance, if a corrections officer is working for the United Nations at the national level (with only the occasional institutional visit or assessment) s/he may only have a monthly report to submit (unless an incident occurs). Thus, weekly and daily situation reports (“sitreps”) may not apply.

United Nations, DPKO, corrections support component sample reports

- Sitreps (daily)
- Sitreps (weekly)
- Sitreps (monthly)
- Incident reports
- Handover reports (end of mission)
- Additional stakeholder reports

Core Learning Activity

Provide participants with blank templates (if available) for each report type. Then ask participants to:

- Attempt to distinguish the difference between the types of reports and their audience;
- Brainstorm the type of information that could go into the respective reports;
- Brainstorm the key differences in reporting within the United Nations organization and outside agencies.

Debrief with the answers after each group is finished discussing. The instructor can follow up with slides on each type of report.
Note to Instructor: Emphasis needs to be placed on information security and professionalism. Pay special attention to information provided to outside agencies, for example, would the information provided in the report pass the media test?

If available, the instructor should provide examples of the various mission reports.

### Daily Sitreps

- The inputs for daily sitreps should provide a summary of major events and developments and cover the period midnight to midnight local time.
- The topics under the individual headlines will be reported to the extent necessary in accordance with the mandate of the mission and the situation on the ground.
- The report should include information on internal matters, including personnel, discipline, administration and logistics.
- All peacekeeping missions are required to provide United Nations Headquarters with daily sitreps.

Note to Instructor: An example of a daily report may include a report on a group meeting (e.g. rule of law, security, etc.). Note that the key issues discussed and the outcome/decisions made during the meeting should be clearly stated.

Note to Instructor: In a typical mission, daily reports from the regions are expected to be received by the corrections support component headquarters by 0800 hrs at the latest the following day. This is to enable the daily sitrep to be sent before 0900 hrs.
Examples of Possible Report Content¹

- Prisoner count
- Releases and intake for past week
- Tabular of offences
- Prisoner issues
- Juvenile prisoner issues
- Female prisoner issues
- Feeding the prisoners
- Health issues
- Visitors to the prison
- Staffing issues
- Donor/humanitarian assistance
- Security incidents/concerns
- Government engagement
- Mentoring/training
- Any other issues

Note to Instructor: The list above and accompanying footnote are only a guide. The instructor may decide to use two lists: one for operational concerns and one for more strategic issues.

Examples of possible report content include:

- **Prisoner count**: Number of prisoners in a corrections facility or system, males and females, sentenced and remand;

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¹ The following list and generic reference to ‘issues’ is only a guide and does not reflect the full nature of corrections officers’ work, which is expected to be focused on prison systemic assessments (e.g. budget, funding, prison security, prison programmes (e.g. industries), conditions of service, prison management, oversight mechanisms), capacity building, mentoring, training, etc.
• **Releases and intake for past week:** Number of prisoners released and why (released from court, sentence served, etc.) and number admitted;

• **Tabular of offences:** A statistical breakdown of the types of offences persons are charged with, or convicted of;

• **Prisoner issues:** Long pretrial detention, overcrowding, executions

• **Juvenile prisoner issues:** Access to education, alternatives to imprisonment, separation from adult prisoners;

• **Female prisoner issues:** Separation, health issues, children accompanying mothers;

• **Feeding the prisoners:** Number and quality of meals, government supplies, NGOs supplying food;

• **Health issues:** Access to medical staff and medicine, sanitation, access to hospital where required, new prisoners being assessed by medical staff, disease outbreaks, health-related deaths;

• **Visitors to the prison:** Family and legal representatives, NGO and other human rights inspections;

• **Staffing issues:** Are staff paid? do they turn up for work? are there adequate staff to supervise the prisoner population?

• **Donor/humanitarian assistance:** Donors both international and national: what assistance is being supplied?

• **Security incidents/concerns:** Escapes, disturbances, contraband, condition of physical structures;

• **Government engagement:** Budgets, staff and prisoner supplies;

• **Mentoring/training:** Activities carried out by the United Nations corrections officer to develop capacity and support the correctional system.

The United Nations is opposed to the death sentence and United Nations staff do not participate in or endorse any related proceedings. All efforts are made to influence the national authorities to cease the practice. However, it is a fact that in some countries where there is a peacekeeping operation or United Nations presence the death sentence still continues. The role of the United Nations corrections officer is to keep other sections, especially human rights, informed of any prisoners facing the death sentence, monitor the conditions of incarceration, and mentor, train and advise national prison authorities to ensure a safe and secure environment for all staff, all prisoners and society at large.

The above are examples of issues that may be found in the daily reports. These reports will be tailored to the activities of the day.
Weekly Sitreps

- Prisons support components in field missions provide weekly sitreps to the senior mission management and forward copies to the Criminal Law and Judicial Advisory Service (CLJAS) in the United Nations Headquarters.
- The most useful weekly reports are those which contain both capacity development information and corrections system details.

The weekly sitreps summarize the salient points found in the daily sitreps provided by the corrections officers.

Why Are Weekly Reports Important?

- Key issues and mission needs are understood by mission headquarters.
- They factor into policy and guidance materials.
- Current information is available to contribute to the DPKO managers’ meetings with Member States and host-country governments.
- They enable (relevant) additional information to be provided to missions.
- Prisoner population profile data, while useful for both mission and peacekeeping headquarters, is most important for developing stock and trend data for future planning for the national corrections system.

The weekly reports may include information on field activities in relation to strategic initiatives based in the mandate. For instance, initiatives undertaken to build national staff capacity and a sustainable prison system (e.g. planning processes, internal mission coordination mechanisms, strategies for addressing cross-cutting issues and for engagement of donors); in addition, corrections system details such as infrastructure, prisoner population and staff data.
The head of the corrections component will summarize pertinent information from the weekly reports in order to create a monthly report.

### Monthly Sitreps

- The head of the corrections component has a reporting requirement to the Head of Mission and DPKO.

### Incident Reports

**(Examples)**

- Major security incidents
- Vulnerable populations
- High-profile visits
- Lack of food or other essential resources
- Staffing issues
- News conferences
- Donations

Incident reports are written in addition to the other reports discussed (i.e. daily, weekly and monthly sitreps). These reports are not pre-planned and the content will be specific to the incident which occurred. Incident reports will often contain the most (security-)sensitive information.

Examples of situations that would require incident reports include:

- Major security incidents;
- Escape/attempted escape;
- Prisoner death;
- Prison riot;
- Issues around vulnerable populations;
- Lack of food or other essential resources;
- Outbreak of disease or fire.

In addition, incident reports would be written for more positive events like:
• news conferences about the corrections system;
• important personalities visiting the corrections component or corrections system;
• donations to the corrections facilities by individuals or groups.

Incident reports concerning alleged human rights violations should be shared with the human rights component to ensure coordinated and timely follow-up. Corrections officers should remember that the reports they generate could be shared with other components and outside agencies such as the national corrections system and national police. Reports are a source of information to allow decisions to be made. As such, corrections officers should always maintain a professional attitude when drafting documents.

Note to Instructor: In order to illustrate the interconnectedness of the daily, weekly, monthly and incident reports, use a flipchart to draw an example of an in-country reporting chain. For instance, the following image is an example of a possible reporting structure in a mission with four different regions.
End of Mission Handover Reports

About 3–4 weeks prior to the end of deployment, handover notes should be prepared, which:

- Detail specific contact information, location of files and data and any other items that should be known by incoming personnel;
- Are sufficiently detailed to allow incoming personnel to work effectively without the benefit of person-to-person contact with departing personnel;
- Ensure a history of the corrections programmes is provided to incoming staff;
- Identify all follow-up actions required and any outstanding issues.

Note to Instructor: Brainstorm with the participants on the importance of end of mission handover reports. Participants should come up with at least the following examples and be able to provide support for them:

- Status update;
- Corporate knowledge (and continuity of projects);
- Lessons learned;
- Accountability;
- Sustainability.

Note to Instructor: Before the next slide, have participants brainstorm what makes reports effective or ineffective. Debrief with the content in the following slide.
**Writing Reports**

**What Makes a Report Effective?**

- Provides an outline of the incident / issues clearly and concisely described
- Gives information in a chronological order
- Uses professional terminology
- Uses proper spelling and punctuation
- Includes supporting documentation as required (e.g. police reports, photos, news clips)
- Fact based
- Includes analyses and recommendations for future actions as required

The points in the above slide are characteristics of effective report writing. The United Nations has established set of guidelines (below) for report writing that support these characteristics.

Note: Within the prison environment, prisoners are photographed for identification and security purposes only. These photos are not for general distribution and, in most cases, to do so without the consent of the prisoner is an infringement of the person’s rights.

**Writing Reports**

**Basic Writing Guidelines**

- Accurate
- Brief
- Complete
- Clear
- Objective
- Well formatted
- **Accurate**
  Use clear, specific and precise language. Make sure the facts are clear to you before you describe them in a report. Do not confuse facts with hearsay or opinions.

- **Brief**
  A report must be short and concise, but long enough to cover all the essentials. Avoid irrelevant information. Add details only when it is necessary. A brief and well-written report is more effective than a long extended report.

- **Complete**
  Partial facts can create an incorrect picture. A good report should include all the relevant facts in order to lead to a logical conclusion.

- **Clear**
  Make it simple and avoid ambiguity in the report in order to convey the intended message. All reports should be worded carefully so that the information is clear to the reader. Facts should be presented in a chronological order.

- **Objective**
  Keep the report objective and unbiased by stating the facts as they are without adding personal opinions. Report all facts, even if they are advantageous to the defendant.

- **Well formatted**
  The format of a report is relatively simple. Begin with the personal data, then the facts and finally the conclusion. The information in the report has to be in a chronological order so that it reflects the sequence of the incident/event.

- **While not one of these basics of report writing, it is also important to be aware of the possible reading audience. In this regard the writer should also consider the confidentiality of sources of information – which is important, for example, if there should be a potential risk to an informant (including a prison official or prisoner who shares sensitive information).**
Note to Instructor: Present the “5 Ws” concept to assist participants in organizing their ideas.

- **Who?** Identify the target audience (for whom the report is being written).
- **What?** Identify the subject or topic: provide the facts.
- **Where?** Identify location(s).
- **When?** Identify timeframe(s).
- **Why?** Provide an analysis of the information gathered.

The above slide is the template used to appropriately structure a report.
Writing Reports

Writing Standards

- Use the formatting guidelines provided by the United Nations Correspondence Manual, including:
  - Abbreviations or acronyms spelled out in full the first time they are used in a document;
  - Capitalization of proper names, names of organizations and official titles;
  - Dates written in full;
  - Numbers from one to nine spelled out in full;
  - Higher numbers expressed in figures.

Provide participants with a handout of the formatting guidelines provided by the United Nations Correspondence Manual.

Format

Reports may carry a header and footer with a United Nations Classification. Maps or diagrams used to illustrate a particular point are to be included in the report, if technical means for the layout and the communication of the report are available.

Abbreviations

Abbreviations or acronyms must be spelled out the first time they are used in a document, e.g. Department of Peacekeeping Operations (DPKO).

Capitalization of Names and Places

When using a person’s title, such as Mr. or Ms. Inspector Kasumo, the title and names must be capitalized. The same applies for the names of organizations, for example the Elassasonian Liberation Front (ELF). The names of places and regions should be typed in capital letters (e.g. BOSNIA & HERZEGOVINA, TUSLA, LIBERIA, MONROVIA, etc.).

Dates and Times

Dates should always be complete beginning with the day followed by the month and end with year, e.g. 26 April 2008 (month should be written in words to avoid misunderstanding). For time, use the 24-hour clock system, e.g. 0745 hrs / 2340 hrs.
Numbers
The numbers from one to nine are usually spelled out in full (e.g. seven). Numbers 10 and above are usually expressed as figures (e.g. 42), except where it would be the first word in a sentence (e.g. Twelve soldiers were observed).

Spelling

<table>
<thead>
<tr>
<th>Writing Reports</th>
<th>Slide 21</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Summary: Quality Control</strong></td>
<td></td>
</tr>
<tr>
<td>• Clear (Does it answer the “5 Ws”)</td>
<td></td>
</tr>
<tr>
<td>• Related to the subject</td>
<td></td>
</tr>
<tr>
<td>• Brief (Concise – does it contain the most relevant information?)</td>
<td></td>
</tr>
<tr>
<td>• Complete (The reader needs to have the full picture of what is being communicated)</td>
<td></td>
</tr>
<tr>
<td>• Accurate (Use only FACTUAL information; if you do not know something, do not include it; if an opinion, clearly state it as an opinion)</td>
<td></td>
</tr>
<tr>
<td>• Fair (Capture all aspects, versions or perspectives of what you are writing about)</td>
<td></td>
</tr>
<tr>
<td>• Informative (Include enough detail for the purpose of the report – if a decision needs to be made, you need to include enough information for the decision-maker)</td>
<td></td>
</tr>
<tr>
<td>• Objective (Stick with the facts and allow the reader to make an assessment)</td>
<td></td>
</tr>
<tr>
<td>• Written in the proper format (Use language and grammar supported by the United Nations and have an introduction, body and conclusion)</td>
<td></td>
</tr>
<tr>
<td>• Readable/legible (Type if possible)</td>
<td></td>
</tr>
</tbody>
</table>
Core Learning Activity

The participants need to write a draft report. The instructor needs to identify a scenario (video clip or case study) to present to the participants. The scenario should be representative of typical activities in the field, e.g. rule of law meetings, corrections visits. It is up to the instructor to determine what type of report is required, e.g. daily sitrep, incident report, etc.; the type of report will be based on the scenario provided.

The time required to complete this exercise is dependent on the type of report written. Participants can finish the report as “homework” if needed.

Feedback needs to be given to each participant individually on the report they wrote.

Learning Outcome Assessment

It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.

At the end of this unit and/or the conclusion of all the STM units, instructors may want to choose some of the following questions for review.

1. What types of reports might corrections officers be required to write?
2. Why should your audience be taken into consideration when a writing a report?
3. What is the typical report structure?
4. Why are writing guidelines important?
# UNIT 7
Mentoring and Advising

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Preparatory Notes to Instructor

Background
In the context of post-conflict societies, United Nations peacekeeping operations are frequently mandated to assist in re-establishing and strengthening the rule of law. Along with police and the justice components, the corrections component is critical to the success of such operations. An important part of re-establishing and strengthening the rule of law is the interaction between the related agencies in the host country (i.e. the corrections service) and the corresponding United Nations component. Corrections components should be involved in the planning of the mission “exit strategy”, which is largely dependent on the ability of national justice and security actors and institutions to function effectively.

People in post-conflict countries generally have little or no confidence in the capacity of the state to provide for their individual safety and security. An effective rule of law system, in which the corrections service is also a key component, not only contributes to personal and state safety but also assists in re-establishing public confidence in its capacity to govern. One of the methods used to develop public confidence and enhance the capacity of the state is the process of mentoring and advising.

Mentoring and advising strategically matches international corrections officers with national corrections officers, in order to create a partnership where knowledge and skills can be exchanged and practised. This is a developmental partnership through which the corrections mentor shares knowledge, skills, information and perspective to foster the personal and development growth of national counterparts.

Aim
To provide participants with a clear understanding of the basic concepts and strategies of mentoring and advising to support the re-establishment of a humane and secure corrections system.

Learning Outcomes
On completion of this module, Mentoring and Advising, participants will be able to:

- Understand the concepts of mentoring and advising and their purpose in peace operations;
- Understand the role of mentoring and advising in supporting the process of reform, restructuring and rebuilding a corrections system;
Unit 7: Mentoring and Advising

- Outline the objectives of mentoring and advising in a peacekeeping context;
- Identify the skills needed for mentoring and advising;
- Demonstrate the ability to mentor and/or advise in various mission situations.

At the end of the module, participants should understand the overall process of mentoring and advising corrections personnel and agencies in a post-conflict environment.

**Training Sequence**

The material contained in this module could be delivered over one or two training units, depending on the number of learning activities that the instructor teaches. The instructor can modify the duration to suit national training requirements and adapt the subject matter to reflect the comprehension level of the students.

The module should be delivered after STM Unit 1 Corrections Support in Peacekeeping, STM Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of Corrections Support, STM Unit 4 Human Rights Approach to Corrections Management, and STM Unit 5 Cooperation and Coordination with Key Partners, in order to make relevant linkages to foundational concepts and to incorporate key themes. However, this module on Mentoring and Advising should be delivered before STM Unit 8 Introduction to Project Management.

**Duration**

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>90 minutes</td>
<td>45 minutes</td>
<td>15 minutes</td>
<td>30 minutes</td>
</tr>
</tbody>
</table>

**Additional Options**

<table>
<thead>
<tr>
<th>45 minutes</th>
<th>Mission Specific</th>
<th>Optional Film</th>
<th>Optional Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>As required</td>
<td></td>
<td></td>
<td>45 minutes</td>
</tr>
</tbody>
</table>

**Methodology**
This module provides an overview of the task of mentoring and advising to support activities related to reforming, restructuring and rebuilding a corrections system in a post-conflict country.

This module contains a variety of suggested learning activities to keep adult learners engaged. The instructors should use as many learning activities as time allows and keep them tailored to the target audience. Participants should be fully involved in the learning process through practical exercises, brainstorming sessions, discussion of case studies, working in small groups on specific tasks, etc.

The instructor should inform participants of the content, format and timing. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.

**Structure of Session**

- Why mentor and advise?
- Definition of a mentor and an adviser
- Differences between mentors and advisers
- The role of United Nations corrections officers as mentors and advisers
- Key competencies of mentors and advisers
- Objectives of mentoring
- Phases in mentoring
- Objectives of advising
- Feedback
- Learning outcome assessment
- Summary

**Please Note:**

- It is up to the learning institution to decide whether the learning assessment questions are used informally in a group-question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.
Instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.

Instructor Profile

This module is best presented by an instructor who has experience in mentoring and advising, who could share his/her experience with the group. If there is more than one instructor, at least one should have field experience in a mission and have engaged in mentoring and advising. The instructor should also encourage questions from the participants and aim for an interactive discussion. All participants should be encouraged to contribute to the group discussions, case study discussions and any other activity.

Instructor Preparations

Required Readings


**General Preparations**

Equipment and materials:

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
Symbols Legend

Note to Instructor (Background information for consideration)

Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

Mission Specific (A point where the session will benefit from mission-specific information)

Example (Stories that illustrate a point or key message)

Sample questions (A list of potential questions to pose to participants)

Handout (Indicates a handout is provided to participants at this point)

Film (A film that is recommended as a core part of the training or an option)

Core Learning Activity (An activity that is strongly recommended for inclusion)

Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session, and the instructor can then fill in any points that have been missed.)
Session Notes

Mentoring and Advising

Note to Instructor: Give the participants a brief explanation as to why they should pay special attention to this module. Refer to Background in the Preparatory Notes to the Instructor above.

Question for Participants: Before we commence, what do we mean by the terms “mentoring and advising”? Are they different or are they the same?

Note to Instructor: If possible have the room set up for group work. Have the participants break into small groups and record answers on a flip chart. Have the groups present their answers and then keep the sheets. At the end of the session they should revisit the answers and see if they want to make amendments. During this session keep the participants in the same groups.

Aim

To provide participants with a clear understanding of the basic concepts and strategies of mentoring and advising to support the re-establishment of a humane and secure corrections system.
Learning Outcomes
On completion of this module, participants will be able to:

- Understand the role of mentors and advisers and the role they play in the process of reform, restructuring and rebuilding a corrections system;
- Outline why mentoring and advising is important in a peacekeeping context;
- Identify the competencies needed for mentoring and advising;
- Demonstrate the ability to mentor and/or advise in various mission situations.

Note to Instructor: Introduce the session by letting participants know the aims of the unit and intended learning outcomes for the module.

Note to Instructor: Through the previous slide and accompanying questions, ensure that there is an understanding of the concepts by the participants.

Structure of Session

- Why mentor and advise?
- Definition of a mentor and an adviser
- Difference between mentors and advisers
- The role of United Nations corrections officers as mentors and advisers
- Key competencies of mentors and advisers
- Objectives of mentoring
- Mentoring phases
- Objectives of advising
- Feedback
- Learning outcome assessment
- Summary
Why do we mentor and advise national corrections officials?  

Note to Instructor: Keep participants engaged by asking questions and ensure that they understand any new term that may be introduced.

In the context of post-conflict societies, United Nations Peacekeeping Operations are frequently mandated to assist in re-establishing and strengthening the rule of law, which is an essential component of security system reform (SSR). Progress in this area has been identified as critical to the success of such operations and to help in defining an “exit strategy”, which is largely dependent on the ability of national security personnel and institutions to function effectively. A substantial part of re-establishing and strengthening the rule of law is the interaction between the host country’s rule of law agencies (i.e. the correctional service) and the corresponding United Nations component.

After conflict, there is generally little or no public confidence in the capacity of the state to provide for their individual safety and security. An effective rule of law system, in which the corrections service is a key component, not only contributes to personal and state safety but also assists in re-establishing public confidence in the capacity of the state to govern. Crucial to this confidence building are the activities of mentoring, advising and training the national corrections officials, in particular with respect to establishing humane and secure corrections and detention (remand) centres.


What do you believe are the characteristics of a corrections system in a post-conflict country? (This should be a review of previous sessions, particularly STM Unit 3 Reform, Restructuring and Rebuilding, and the Core Business of Corrections Support.)
### Definitions of a Mentor and an Adviser

#### Mentor
- “An experienced and trusted adviser”\(^1\)
- “A wise and trusted counselor or teacher”\(^2\)
- Someone who serves as an example
- Someone who helps to identify, and work on, an individual’s strengths and weaknesses
- A person who “shares knowledge, skills, information and perspective to foster the personal and professional growth of someone else”\(^3\)
- Someone who engages in another’s professional growth and development

#### Adviser
- “Someone with more experience who provides guidance”\(^4\)
- An expert who assists national counterparts in identifying solutions or recommendations in a given environment to further develop and improve the host country’s justice system
- “Is concerned not only with a specific personal or vocational decision but also with facilitating the student’s rational processes […] and problem-solving, decision-making, and evaluation skills”\(^5\)

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Note to Instructor: The instructor should discuss the definitions with the participants, and ask people to provide definitions in their own words. The instructor needs to clearly distinguish between mentoring and advising.

Mentoring is a way of encouraging professional growth. “Mentoring is a fundamental form of human development in which one person invests time, energy and personal know how in assisting the growth and ability of another person.” The mentor provides advice on how the mentee can develop his or her skills, competencies, knowledge and experience in order to improve their professional performance. Common examples from peacekeeping missions include:

- Conducting a training session on how to develop standard operating procedures;
- Assisting to facilitate meetings with NGOs and other potential donors;
- Supporting the corrections manager during discussions with court officials regarding prisoner court appearances;
- Working with a corrections manager to develop a roster.

Advising is a way for an expert to propose quick solutions or recommendations on a larger scale. Advisers may also provide assistance on the development of policies for example, depending on the context of the mission. Here are some examples of advising:

- Advising national personnel on corrections issues related to the implementation of the corrections support programme and providing regular reports on key issues and work programme implementation;
- Providing advice and guidance to national authorities about the reform and strengthening of the corrections system, including issues relating to international human rights standards, implementation of strategic planning processes, development of legislation, policy and procedures, rehabilitation of facilities, management of prisoners in accordance with international guidelines, corrections administration, budget administration, human resource management, performance management and staff training.

United Nations corrections officers perform both mentoring and advising roles, depending on the needs of the mission and the context of the process and/or individuals being assisted.

Despite the need to build relationships and gain trust, when human rights violations occur, the role of the mentor is to report all violations to their managers and to guide and educate the national authority to ensure such violations don’t happen in the future. If the violation is serious and can result in grievous bodily or emotional harm, a mentor needs to move into an advisory role (the need for immediate corrective action) and potentially intervene. We are all bound by international human rights laws.\(^7\)

### Difference between a Mentor and an Adviser

**Mentor**
- Establishes a relationship, a partnership (respecting the mentee’s personal situation, needs and motivations);
- Allows the mentee to choose their own direction;
- Provides guidance;
- Coaches.

“Mentors focus on why, and are those individuals who not only have the ability to advise, but also to be a teacher, a supporter, a tutor, a sponsor, a coach and a trainer.”\(^8\)

The mentor–mentee relationship is far deeper and more personal than a relationship with an adviser.

**Adviser**
- Provides guidance without regard for someone’s personal situation, needs or passions;
- Provides solutions or answers;
- Provides a way forward that national counterparts could follow;
- Offers assistance to national counterparts to further

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\(^7\) The *OHCHR/DPKO/DPA/DFS Policy on Human Rights in United Nations Peace Operations and Political Missions* provides that “corrections components shall integrate international human rights standards in all aspects of their work such as advising, mentoring and training correction personnel…” (para 104).

As the definitions demonstrate, mentoring should not be confused with advising. Advising is typically a short-term relationship aimed at providing possible solutions to specific problems in the development process of the corrections system. In contrast, mentoring requires a more comprehensive, long-term, one-on-one relationship between a more experienced professional and a less experienced individual. Mentoring is a developmental process involving counselling, guidance, instruction and a mixture of personal and professional growth. An adviser might or might not be a mentor, depending on the quality and context of the relationship.

The adviser role is more one of providing solutions or options to specific situations. This can be a very ad hoc relationship and can involve the use of technical experts to address specific situations, such as during an emergency. The mentor–mentee relationship, on the other hand, is more long term and involves the mentor supporting the mentee and letting the mentee develop their own solutions. An example of this would be the development of procedures. The mentor would discuss the desired results, such as respecting prisoners rights as defined by the *Standard Minimum Rules for the Treatment of Prisoners*, but the corrections manager and staff would develop the procedures.

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9 Ibid.
Key Competencies of Mentors and Advisers

- Communication
- Teamwork
- Commitment to continuous learning
- Leadership
- Empowering others
- Building trust
- Managing performance

Despite the differences in mentoring and advising, similar competencies are needed to fulfil the tasks. Empowering others is giving your influence to others for the purpose of personal and organizational growth.\(^\text{10}\)

When you empower others, you are giving them power and you allow them the ability to make changes in their work environment. Another way to understand the word empower is to further look at what it means to equip that person. When you equip someone you help them find the tools and skills necessary to succeed.

Note to Instructor: Brainstorm with the participants which attributes a mentor and an adviser should demonstrate. Since mentoring and advising are defined differently, their desired attributes may vary. Have groups discuss which attributes are applicable to mentoring and which may apply to advising. Collect the results from the participants on a flip chart and complement it with the expected outcome.

Expected Outcome

Mentors and advisers should be:

- Reliable;
- Committed;
- Lead by example;

\(^\text{10}\) http://johnmaxwellonleadership.com
Attributes of Mentors and Advisers

- Reliable
- Committed
- Lead by example
- Knowledgeable
- Competent
- Professional

They should be able to:

- Assess;
- Evaluate;
- Define and set goals;
- Set timelines;
- Define performance indicators;
- Share ideas;
- Advise;
- Follow up;
- Think strategically.
UNIT 7: MENTORING AND ADVISING

**DUTIES AND RESPONSIBILITIES OF MENTORS AND ADVISERS**

- Assist, train, mentor and advise appropriately
- Search for solutions
- Ensure compliance with international human rights standards
- Evaluate performance
- Document and report through the chain of command or on directives of the superior officer

The main goal of mentoring and advising the host country’s corrections officers is to enhance competency and capacity as well as to strengthen the corrections system by bringing about change and/or growth. In addition, mentors and advisors should:

- Search together with the mentee for solutions;
- Ensure that the mentee is complying with international standards;
- Evaluate the mentee’s performance, document and report it through the chain of command.

**SKILLS OF MENTORS AND ADVISORS**

A mentor and an adviser should be able to:

- Assess;
- Evaluate;
- Define and set goals;
As a mentor or an adviser, corrections officers should be able to:

- **Assess** – for example job performance, corrections environment, developmental opportunities;
- **Evaluate** – for example corrections activities in relation to policy and standards, degree of learning based on demonstrated behaviours;
- **Define and set goals** – for their mentees, other corrections staff and themselves;
- **Set timelines** – these should be realistic and specific to the development of national staff – developing staff requires patience and time;
- **Define performance indicators** – for example develop a learning plan;
- **Share ideas** – communicate, encourage opinions, solutions and debates;
- **Advise** – appropriately and with diplomacy;
- **Follow up** – for example follow through and check in with mentee or national staff;
- **Think strategically** – for example think of the bigger picture, be dynamic, be flexible.

### Objectives of Mentoring

- Create positive attitudes
- Develop professional skills
- Prepare for higher responsibilities
- Reinforce training and delivery of a safe, secure and humane corrections system
- Reinforce principles of international human rights standards
“The objective of DPKO prison support activity is to contribute to the maintenance of sustainable peace and security by providing essential support to national personnel to develop and manage a viable, safe, secure and humane prison system free of human rights violations through the transfer of knowledge and skills.”\textsuperscript{11}

Objectives of mentoring within a DPKO corrections component are wide-ranging and are influenced by several variables such as the mission mandate, work plans of the specific component and the specific corrections environment in the country. However, all mentoring activities need to incorporate broad scoping themes representative of democratically influenced corrections systems. Mentoring activities need to build the capacity of national corrections officials to understand and operate within the following democratic themes:

- Power held by many;
- Equality before the law;
- Enforcement of relevant legislation;
- Service to the community;
- Respect for human rights;
- Honesty and accountability;
- Confidence in the prison system;
- Respect for justice;
- Support from the community;
- Partnership with the community.

For United Nations corrections components involved in mentoring, changing the attitude and behaviour of the host country’s prison service and its employees is the most important objective of mentoring, as well as the most difficult one.

Note to Instructor: It is essential to emphasize that the participants themselves are to apply the United Nations core values (integrity, professionalism, respect for diversity) in order to achieve these objectives. Leading by example is crucial!

Changing attitudes, professionalizing prison officers and fostering “pride in the uniform” enable the officers to become more effective and efficient. Additionally, compliance with international standards helps to rebuild the confidence of the population in the justice system.

One of the most important principles of mentoring is to promote the prison system as a service and an institution of justice. Consequently, all personnel within the justice system have to work together in the effort to maintain a high level of justice.

### Mentoring Phases

<table>
<thead>
<tr>
<th>Phase 1 – Forming a partnership</th>
<th>Slide 14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase 2 – Establishing trust</td>
<td></td>
</tr>
<tr>
<td>Phase 3 – Challenging for professional growth</td>
<td></td>
</tr>
<tr>
<td>Phase 4 – Sustaining and nurturing the relationship</td>
<td></td>
</tr>
</tbody>
</table>

Note to Instructor: The concepts of each phase can be explored in the learning activity below.

**Core Learning Activity**

**Mentoring Phases**

The purpose of this group discussion activity is to raise the participants’ awareness of the different phases a mentor should be aware of, in order to build capacity.
Learning Activity Time Required

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 minutes</td>
<td>activity introduction and instructions</td>
</tr>
<tr>
<td>10 minutes</td>
<td>small-group discussions</td>
</tr>
<tr>
<td>15 minutes</td>
<td>small-group reports in the plenary</td>
</tr>
<tr>
<td><strong>Total time:</strong> 30 minutes</td>
<td>total time dependent upon the number of small groups</td>
</tr>
</tbody>
</table>

Activity Guidelines

1. Divide the participants into four groups.
2. Ask the participants to list activities a mentor should perform during the different phases.
3. Ask the participants to present their results in the plenary.
4. Complement the results with the expected outcome.

*Note to instructor:* Debrief the group responses with the following slides.
Phase 1: Forming a Partnership

- Understand and respect the culture, beliefs and history of the host country’s prison service
- Get to know each other as individuals and develop a foundation for the partnership
- Keep professional distance\(^\text{12}\)
- Listen to the needs and expectations of the mentee
- Develop a common set of expectations
- Initiate an open and honest approach to communicating
- Develop goals

Keep professional distance: For a mentor, professional distance is, quite simply, conducting your relationship with mentees in a manner which avoids the appearance of impropriety. While a mentor can have empathy with the situation of national counterparts, it is important to maintain professional standards and not allow them to be compromised. By keeping this space, a professional can fulfil their professional and personal obligations, and be seen to do so, in a way that is impartial and/or non-exploitative.\(^\text{13}\)

Phase 2: Establishing Trust

- Probe for information that will be useful in order to develop trust
- Develop a style of problem-solving
- Provide feedback – positive and constructive – that helps the mentee grow
- Keep commitments/promises
- Share your personal experiences that are relevant to the discussion (but always be aware that what works in your country might not work in the host country)

\(^{12}\) More information on this concept can be found at: http://hrcafe.typepad.com/my_weblog/2006/02/when_managers_g.html

\(^{13}\) Adapted from: Dr Anna Corbo Crehan, Professional Distance And Corruption (Charles Sturt University, New South Wales Police College campus).
### Phase 3: Challenging for Expected Growth
- Jointly identify ways that can broaden the mentee’s experiences
- Discuss what’s working and what’s not
- Find ways to improve the way you work together
- Respectfully challenge the mentee when his/her actions are leading to negative consequences
- Explore how s/he may change attitudes/behaviour to better achieve the set goals
- Be open to feedback on your performance as a mentor
- Give responsibilities

### Phase 4: Sustaining and Nurturing the Relationship
- Review lessons learned in the relationship
- Reinforce positive actions taken
- Support the mentee in taking the initiative to gather information from a variety of sources
- Celebrate the progress and growth of the relationship
- Transition from the need for intensive mentoring to monitoring

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**Expected Outcome**

The above information about the phases of mentoring can be provided to participants in the form of a handout after the exercise is complete.
Mentoring in Practice
Example in the Field

- The mentor spends some time observing, then identifies and prioritizes things that need to be developed or modified.
- Next, the mentor discusses or shows the person how to do something (ensures the person understands not only what to do but also why).
- The mentor steps back and watches the person do it and guides the person if required.
- Feedback is provided by the mentor in the form of a discussion (what went well and what can be worked on) and strategies for improvement are established.

Provide the participants with an example from the field to enhance the mentoring.

Mentoring
Important Advice

- Failure and success are both powerful teachers.
- Development matures over time (continuous learning is not an event; it's a synthesis of ongoing events/experiences/observations).
- Mentoring is a joint venture (mentor and mentee share the responsibility for learning).
- Think of mentoring as not only the process for the acquisition of attitudes and capabilities, but also for the acquisition of skills and behaviours.
Objectives of Advising

Assisting by proposing solutions or providing direction in the context of a broader development process, including:

- Organizational issues;
- Administrative issues;
- Operational issues.

The overarching objectives of advising are similar to those of mentoring. However, the activities of an adviser are completely different than those of a mentor.

Like mentoring, the activity of advising will promote the principles of a democratic corrections system and the respect of international human rights. The objective of advising is not to establish an intense relationship, provide guidance or empower the person to make their own decisions but rather to provide a way forward, typically when the mentoring relationship has not been established or when there is no grace period for poor judgement and no opportunity for experimentation or second chances. The advice may be on how to address a human resource issues, a crisis in the correctional setting or to achieve compliance with appropriate standards and protocols.

Dos for Mentoring and Advising

- Set achievable goals and timelines
- Share experiences
- Enable and empower officers to perform
- Facilitate independent action
- Encourage decision-making
- Emphasize success
- Discuss ways to improve
- Participate in meetings as support for the local system
• Actively work in support of the host country’s restructuring process
• Actively network
• Provide longer term follow-up (are things being done differently?)
• Understand the national context of the prison system

Note to Instructor: After going through the slide, brainstorm with the participants the Don’ts of mentoring and advising, and complement with the expected outcome.

You may want to include the following points as a handout or write them on flipcharts.

Expected Outcome
• Do not “rescue” the officer by doing his/her work
• Avoid acting as a “know-it-all”
• Do not become a friend rather than a mentor
• Do not only criticize; provide positive and useful feedback
• Do not discourage the officer when he/she has been unsuccessful

Don’ts for Mentoring and Advising
• Do not try to replicate your country’s prison system abroad
• Do not work for the officers, work with them
• Do not become a friend rather than a mentor
• Do not only criticize, also provide positive and useful feedback
• Do not discourage an officer when he/she has been unsuccessful
• Do not work without coordinating with your United Nations colleagues
• Do not make promises you can’t keep; instead, agree to look into issues
Giving Feedback

- Be honest and positive
- Be timely and specific
- Describe the behaviour
- Start with critique of things that can be changed\(^{14}\)
- Don’t overly verbalize failures, rather discuss things that can be improved upon (remain positive)

Rule for giving feedback:

- POSITIVE – NEED FOR IMPROVEMENT – POSITIVE

Feedback should:

- Give praise for things that went well;
- Refer to concrete observable behaviour;
- Only describe behaviour, avoid “analysing” and don’t make it personal;
- First refer to positive observations, then turn to the things that can be improved upon and conclude on an encouraging note;
- Be constructive, give examples for a better way to perform the task;
- Be timely, give feedback as soon as possible;
- Be specific, give examples of each point;
- Take a positive approach.

Mentors should work closely with the mentee providing her/him with constant feedback. One cannot expect changes to happen in a short timeframe. Patience is key!

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\(^{14}\) The instructor is to emphasize that this does not include human rights abuses that must be addressed.
Receiving Feedback

- Listen
- Do not immediately justify
- React constructively
- Develop solutions

Receiving feedback:

- It is crucial that feedback be given by both the mentor and the mentee! The above rules apply to both.
- First, listen carefully to the observations without justifying your actions, leave the criticism uncommented. After having listened, attempt to develop a solution in order to be better prepared for a similar situation should it occur, and only comment if you feel the criticism was unjustified.

Summary of Key Messages

- Impact of mentoring and advising on reform, restructuring and rebuilding the host country’s prison system
- Four mentoring phases
- Key skills of mentors and advisers
- Giving and receiving feedback

Note to Instructor: If time allows, divide the participants into three groups and hand out the activity/case studies in the Optional Learning Activity below.

Learning Outcome Assessment

It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure that participants are clear on the key messages.
At the end of this unit and/or the conclusion of all the STM units, instructors may want to choose some of the following questions for review.

1. What is mentoring and advising?
2. What is the aim of mentoring and advising?
3. List the objectives of mentoring and advising.
4. List the attributes and skills needed for mentoring and advising.
5. What role does mentoring and advising play in the process of reform, restructuring and rebuilding a justice system?
6. What are the Dos and Don’ts for mentoring and advising?
7. List the rules for giving feedback.

**Expected Outcome**

1. Mentoring and advising are defined as:
   - Mentor: A wise trusted counsellor or teacher
   - Adviser: An expert who proposes solutions to a problem

2. The aims of mentoring and advising are:
   - Mentoring is a way of encouraging professional growth. It is a fundamental form of human development where one person invests time, energy, and personal know how in assisting the professional growth and development of another person. The mentor provides advice on how the mentee can develop his or her skills, competencies, knowledge and experience in order to improve their professional performance.
   - Advising is a way for an expert to help national counterparts to identify quick solutions on a larger scale. Advisers may also provide assistance on the development of policies, for example, depending on the context of the mission.
   - Although similar skills and competencies are required for both mentoring and advising activities, the latter is mainly performed on a more strategic level in order to enhance the host country’s justice system.

3. The objectives of mentoring and advising are:
   - *Objectives of mentoring*
     - Create positive attitude
- Develop professional skills
- Prepare for higher responsibilities
- Reinforce training
- Reinforce the United Nations minimum standards

Objectives of advising
- Assist by proposing solutions in the context of a broader development process, including:
  - Organizational issues;
  - Administrative issues;
  - Operational issues.

4. Mentors and advisers should have the following attributes and skills:

Attributes
- Reliable
- Committed
- Lead by example
- Knowledgeable
- Competent
- Professional
- Motivating
- Responsible
- Responsive
- Solution orientated
- Encouraging
- Fair
- Impartial

Skills
- Assess
- Evaluate
- Define and set goals
- Set timelines
- Define performance indicators
• Share ideas
• Advise
• Follow up
• Think strategically

5. The role that mentoring and advising plays in the process of justice system reform, restructuring and rebuilding is that it facilitates enhancement of the competency and capacity and strengthens the corrections system by bringing about change. Changing attitudes, professionalizing staff and fostering “pride in the uniform” enable the staff to become more effective and efficient. Additionally, compliance with international standards helps to rebuild the confidence of the population in the justice system.

One of the most important principles of mentoring and advising is to promote respect for human rights and re-establish a safe, secure and humane corrections system.

6. The Do’s and Don'ts for mentoring and advising are:

Do’s
• Set achievable goals and timelines
• Share experiences
• Enable officers to perform their duties
• Facilitate independent action
• Encourage decision making
• Emphasize successes
• Discuss ways to improve job performance
• Assist in career planning for staff

Don’ts
• Do not “rescue” staff by doing their work
• Avoid acting as a “know-it-all”
• Do not become a friend rather than a mentor
• Do not only criticize; provide positive and useful feedback
• Do not discourage the officer when he/she has been unsuccessful

7. The rules for giving feedback are:
• Give praise for things that went well
- Refer to concrete observable behaviour
- Only describe behaviour, avoid “analysing” and don’t make it personal
- First refer to positive observations, then turn to the negatives and conclude on an encouraging note
- Be constructive, give examples for better ways to perform the task
- Be timely, give feedback as soon as possible
- Be specific, give examples of each point
- Only criticize things that can be changed
- Take a positive approach
- Rule: POSITIVE – NEED FOR IMPROVEMENT – POSITIVE

Optional Learning Activity

Role Plays

The purpose of this group activity is for participants to identify difficulties and problems in mentoring and advising through role plays. The three exercises are: Positive and Negative Experience, Difficulties in Mentoring and Advising, and Feedback Rule. Depending on the number of participants and in order to save time, individual exercises can be assigned to individual groups and they can be conducted at the same time with instructors monitoring each group. If time permits, the exercises can be conducted altogether in one group.

Learning Activity Time Required

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 minutes</td>
<td>activity introduction and instructions</td>
</tr>
<tr>
<td>15 minutes</td>
<td>small-group discussions</td>
</tr>
<tr>
<td>20 minutes</td>
<td>debrief in the large group</td>
</tr>
<tr>
<td>Total time:</td>
<td>45 minutes total time dependent upon the number of groups</td>
</tr>
</tbody>
</table>

Exercise 1: Positive and Negative Experience
Activity Guidelines

1. You have probably been mentored or advised by one or more people but may not have recognized it. Look back and identify one person who you think was a good mentor or adviser and another who you think could have been better.

2. Give reasons to support both.

Expected Outcome

The points noted below are only meant as examples and should complement the responses of the participants.

For the positive experience, the mentor or adviser:

- Set achievable goals and timelines;
- Shared experiences;
- Enabled the officer to perform;
- Facilitated independent action;
- Encouraged decision-making;
- Emphasized successes;
- Discussed ways to improve;
- Assisted in planning the career of the officer.

For the negative experience, the mentor or adviser:

- Did not do the above mentioned actions;
- Did the work him/herself;
- Was a “know it all”;
- Was more a friend than a mentor;
- Only criticized; did not encourage;
- Provided only personal feedback.

Exercise 2: Difficulties in Mentoring and Advising

Activity Guidelines

1. Think of problems that might arise in a mentoring or advising partnership.

2. How would you address these difficulties?
Expected Outcome
The points noted below are only meant as examples and should complement the responses of the participants.

Problems:
- Past experiences of United Nations corrections officers
- Apparent lack of results
- Lack of motivation
- Political interference
- Cultural aspects, religion, ethnicity
- First “bad” impression
- United Nations corrections officers feeling superior
- Broken promises
- Lost credibility
- High turnover of United Nations corrections officers

How to address:
- Proper introduction
- Explain mandate and role of a United Nations corrections officers
- Active listening
- Demonstrate a sincere interest
- Seek agreement on how to do business
- Demonstrate knowledge and respect of the host country’s demographics, legislation and culture

Exercise 3: Feedback Rule

Activity Guidelines

1. You are a mentor to a prison manager in a small district prison. After your initial assessment of the prison, you have identified a number of major problems:
   - Prisoners remain secured in their cells, often for days at a time, without exercise or fresh air.
• Food is inadequate although there is a good supply of fresh drinking water.
• There are no structured activities for the prisoners.
• While there is a reasonable number of staff, they have received no training and you believe that some would not meet the entry-level standard for prison officers.
• The prison manager, while intelligent, has no formal prison or management training. Staff ‘do their own thing’ and it appears that there are no procedures for them to follow.

2. What advice would you give to the manager? What could you do to mentor the manager?

3. Break into groups of four or five. One person will take on the role of the manager, another that of the mentor. The rest of the group will be observers.

Note to Instructor: There are many possible ways of addressing this situation. The purpose of the exercise is to have the mentor practise some of the points covered in the session.

Expected Outcome
Assess performance in role play on the basis of the feedback rule: POSITIVE – NEGATIVE – POSITIVE.

Feedback should:
• Give praise for things that went well;
• Refer to concrete observable behaviour;
• Only describe behaviour, avoid “analysing” and don’t make personal comments;
• First refer to positive observations, then turn to the negatives, conclude on an encouraging note;
• Be constructive, give examples for better way to act complete the task;
• Be timely, give feedback as soon as possible;
• Be specific, give examples of each point;
• Only criticize things that can be changed;
• Take a positive approach.
# UNIT 8
Introduction to Project Management

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Preparatory Notes to Instructor

Background

The main role of the United Nations in peacekeeping is to assist national actors in resolving conflict at an early stage and to help build national capacity to sustain peace.

The experiences of the United Nations in Kosovo and Timor-Leste have shown that, at a minimum, the re-establishment of essential judicial functions must consist of all segments of the justice sector and must be among the mission’s top priorities from the earliest stages of deployment. The absence of a functioning and fair criminal justice system can adversely affect both the short- and long-term objectives of the peacebuilding effort, which include ensuring the protection and promotion of human rights, the restoration of the political stability that is necessary for the development of democratic institutions, the establishment of an atmosphere of confidence necessary for the return of refugees, the latitude to provide humanitarian assistance, the implementation of development and reconstruction programmes, and the creation of an environment friendly to foreign investment and economic development.

Corrections officers deployed to peacekeeping missions are often overwhelmed with their seemingly immense task. They are inundated by the amount of work required to elevate national corrections standards to a level that is acceptable to the international community and in compliance with international human rights standards. They are also required to train national officers to a level of competency in order to maintain those standards and address long-standing infrastructural issues within the corrections system. This introduction to project management is meant to assist in organizing officers in the field. It will provide a framework to approach various different tasks and is not limited to traditional “large-scale projects”. It will help staff to strategically plan both short-term and longer term activities and promote a methodology that helps to manage the completion of such activities.

Participants will be encouraged to view this module as a method of organization and a framework that can be used in their approach to any project or activity, regardless of its size, priority or sensitivity.
Aim
To provide participants with an introduction to the fundamental components and basic terminology of project management.

The session will also describe the characteristics of successful projects and provide practical advice on creating a simple yet useable project management plan, in order to more effectively support national counterparts in re-establishing and strengthening their corrections system in accordance with applicable human rights standards.

Learning Outcomes
On completion of this module, Introduction to Project Management, participants will be able to:

- Understand the definition of a project and the function of a project manager in the field;
- Review the basic principles and fundamental characteristics of project management;
- Identify and prioritize project needs in the field while considering competing expectations, available resources, national initiatives and international mandates;
- Identify stakeholders and partnerships to support a project;
- Understand how to apply a simple programme management framework using various tool kits (checklists, needs assessments, situation, causal and capacity gap analysis)\(^1\) pertaining to human rights in their particular corrections environment;
- Assess ongoing compliance with project targets and overall success of project objectives.

At the end of the module, participants should have an understanding of basic project management within their particular post-conflict environment.

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Training Sequence

The material contained in this module can be delivered in a two-hour timeframe or longer, depending on the level of detail required and the number of learning activities embedded into the module. The instructor can modify the duration to suit national training requirements and adapt the subject matter to reflect the comprehension level of the students.

This module should be the last STM unit presented in the Predeployment Training Programme. It should follow STM Unit 4 Human Rights Approach to Corrections Management, STM Unit 5 Cooperation and Coordination with Key Partners, STM Unit 6 Report Writing, and STM Unit 7 Mentoring and Advising. The module called Human Rights Approach to Corrections Management provides participants with the skills and knowledge needed in the “conception and initiation phase” (“situation, causal and capacity gap analysis” and prioritization of activities to address these gaps). The module called Cooperation and Coordination with Key Partners provides participants with the skills and knowledge of identifying stakeholders and partners required in the “design and plan phase” of project management. Advising and mentoring can be assessed as a method of tracking/monitoring/managing the project.

Duration

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>120 minutes</td>
<td>45 minutes</td>
<td>15 minutes</td>
<td>60 minutes</td>
</tr>
</tbody>
</table>

Methodology

This module provides an overview of basic project management concepts in support of the reforming, restructuring and rebuilding of law enforcement agencies including the corrections system. The module aims at laying the foundation for further, more comprehensive education on project management from a human rights perspective.

The delivery of this module will be based on adult-learning principles and engage participants in the material by utilizing numerous learning activities, practical exercises, group work, case studies, role plays and presentations. The focus will be to have the participants identify the principles of project management by using their past experiences and then envision how to apply these principles within their
mission. The instructor will assist participants to identify “likely projects” in the mission and work through the methodology of how to engage in the project management process.

The instructor will provide personal examples of project management in the field and will address mission-specific questions when possible. Reference will be made to Quick Impact Projects (QIPs) as one type of project methodology used within the United Nations.

The instructor should inform participants of the content, format and timing of the module. Knowing what to expect, participants can improve their ability to focus on the subject and benefit better from the session.

**Structure of Session**

- Introduction
- What is a project?
- Common project elements
- Project management (what, why, characteristics)
- Benefits of project management
- Role of a project manager
- Five phases of project management (PM theory)
- Activity 1 – Conception / Initiation
- Project sustainability
- Why projects do not succeed
- Why projects succeed
- Activity 2 – Integration
- Activity 3 – Role plays (optional)
- Learning outcome assessment

**Please Note:**

- It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question-and-answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at
the end of the assessment in order to ensure that participants are clear on
the key messages.

- Instructors are encouraged to add examples and mission-specific
  information related to the specific deployment of participants, if known.

Instructor Profile

This module is best presented by an instructor who has mission experience, who
could share his/her experience with the group, including on essential human rights
standards and principles. If there is more than one instructor, at least one should
have practical experience. The instructor should also encourage questions from the
participants and aim for an interactive discussion. All trainees should be
encouraged to contribute to the group discussions. Where possible some practical
examples should be provided to promote discussion.

Instructor Preparations

Required Readings

- Center on International Cooperation, *Building on Brahimi: Peacekeeping
  in an era of Strategic Uncertainty* (April 2009)
- CJLAS, Peacekeeping Best Practices Section, *Supporting National Prison
  Systems: Lessons Learned and Best Practices for Peacekeeping
  Operations* (December 2005)
- DPKO and the International Centre for Prison Studies, King’s College
  Operations*, Management Development Course (undated)
  Operations* (2005)
- DPKO, *Primer for Justice Components in Multidimensional Peace
  Operations: Strengthening the Rule of Law* (December 2006)
- Peacekeeping Best Practices Unit, DPKO, *Handbook on United Nations
  Multidimensional Peacekeeping Operations* (December 2003), pp. 85–94
- *United Nations Peacekeeping Operations Principles and Guidelines*
  (“Capstone Doctrine”) (2008)
General Preparations

Equipment and materials:

1. Computer and PowerPoint slides
2. Projector and screen for slides
3. Flip chart and markers
4. Copies of handouts
5. Copies of Annex 1 for each participant
Symbols Legend

🚀 Note to Instructor (Background information for consideration)

🔗 Speaking Points (The main points to cover on the topic; ideally the Speaking Points are presented in the instructor’s own words rather than read to participants)

📍 Mission Specific (A point where the session will benefit from mission-specific information)

مثال (Stories that illustrate a point or key message)

❓ Sample questions (A list of potential questions to pose to participants)

เอกสาร (Indicates a handout is provided to participants at this point)

🎬 Film (A film that is recommended as a core part of the training or an option)

🌟 Core Learning Activity (An activity that is strongly recommended for inclusion)

.Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group; guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

🔐 Key Summary Points (Key messages that are worth repeating at the end of the session; alternatively, the instructor can ask participants what the main messages are that they are taking from the session, and the instructor can then fill in any points that have been missed.)
### Session Notes

<table>
<thead>
<tr>
<th>Introduction to Project Management</th>
<th>Slide 1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Aim</strong></td>
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**Note to Instructor:** Give the participants a brief explanation as to why they should pay special attention to this module. Refer to Background in the Preparatory Notes to the Instructor above.

<table>
<thead>
<tr>
<th></th>
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**Note to Instructor:** The instructor should make links to the previous modules. During the presentation, the instructor should explain to the participants how individual projects contribute to the larger peacekeeping efforts to reform a country’s corrections system. In other words, the projects that they will be working on constitute pieces of a much larger puzzle, as discussed in previous modules.
### Learning Outcomes

On completion of this module, participants will be able to:

- Understand the definition of a project and the function of a project manager in the field;
- Review the basic principles and fundamental characteristics of project management;
- Identify and prioritize project needs in the field while considering competing expectations, available resources, national initiatives and international mandates;
- Identify stakeholders and partnerships to support your particular project;
- Understand how to apply a simple programme management framework using various tool kits (checklists, needs assessments, situation, causal and capacity gap analysis) pertaining to human rights in a post-conflict corrections environment;
- Assess ongoing compliance with project targets and overall success of project objectives.
### Structure of Session

- What is a project?
- Common project elements
- Project management (what, why, characteristics)
- Benefits of project management
- Role of a project manager
- Five phases of project management (PM theory)
- Activity 1 – Conception / Initiation
- Project sustainability
- Why projects do not succeed
- Why projects succeed
- Activity 2 – Integration
- Activity 3 – Role plays (optional)
- Learning outcome assessment

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**Note to Instructor:** Before discussing what project management is and what it includes, the instructor should discuss with participants what a ‘project’ is. Have participants attempt to define what a project is prior to showing Slide 5, and then use the slide to help to define a project.

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### What is a project?

*A project can be defined as a temporary endeavour (with a beginning and an end) that seeks to accomplish a specific objective within particular constraints (e.g. scope, priorities, time and resources).*
Common Project Elements

- An overall and specific goal
- A project manager
- All are unique
- A start and a finish
- Individual tasks to be performed
- Timing of tasks to be completed
- A budget (or agreed upon resources)
- Requires a variety of resources and skills
- Can “deliver” or influence change
- Can maintain the “status quo”

Ask the participants to give examples of what they believe project management to be and what it includes. Note answers on a flip chart and compare with those in Slide 7 below.

Project Management

What is project management (PM)?

- Method and mindset ... a disciplined approach to managing chaos;
- A framework for working within an environment of persistent change;
- A roadmap for deliverables.

Why is PM important?

- Principles and tools for defining, planning, executing, controlling and completing a project.

Characteristics of successful PM?

- Scope (parameters, objectives, priorities);
- Resources (people, material, cost);
- Time (set duration).
Note to Instructor: Briefly discuss the participants’ responses to the questions above using the notes below.

Project management – a definition: project management is a discipline of combining systems, techniques and people to complete a project within established goals of time, budget and quality.

Project management is important because it provides participants with a framework for how to go about taking something which has been identified as a priority from an assessment against international human rights standards and instruments, and then prioritizing it in order to achieve change.

Not only will it help to guide the participants’ work, project management will also make changes within the national corrections system more manageable as it will provide staff with areas to focus on (as the overall work required may seem overwhelming at times).

All projects share a few key elements in the outline and structure of the project, and the fact that they are all based upon assessments against international human rights standards. However, no two projects will ever be the same; resources available, country-specific dynamics and the structure of the prison or prison system will always be unique and/or fluctuate. Consequently, innovation and flexibility are important when managing a project.

The three characteristics of successful project management listed above are interrelated and interdependent; thus, they cannot be examined in isolation.

<table>
<thead>
<tr>
<th>Purposes of Project Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management of United Nations missions and corrections support programmes</td>
</tr>
<tr>
<td>Establishment of corrections improvement programmes</td>
</tr>
<tr>
<td>Maintenance management</td>
</tr>
<tr>
<td>Change management</td>
</tr>
<tr>
<td>Compliance with international human rights standards</td>
</tr>
<tr>
<td>Avenue for obtaining international funding and support</td>
</tr>
<tr>
<td>Building legitimacy and credibility for rule of law activities</td>
</tr>
<tr>
<td>Opportunity and method of influencing national ownership</td>
</tr>
</tbody>
</table>

Slide 8
Project management is fundamental to the effectiveness and sustainability of any mission corrections support effort. It is thus essential to understand how to manage a project (regardless of its size).

Throughout the mission, objectives will be developed based on international human rights standards. These objectives will contribute to the strengthening of the host country’s rule of law sector.

<table>
<thead>
<tr>
<th>Role of a Project Manager</th>
<th>Slide 9</th>
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</thead>
<tbody>
<tr>
<td>Leadership</td>
<td></td>
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<tr>
<td>Team building / delegation</td>
<td></td>
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<tr>
<td>Organizational skills</td>
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<tr>
<td>Creating a vision / ownership</td>
<td></td>
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<tr>
<td>Securing resources</td>
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<tr>
<td>Communication</td>
<td></td>
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<tr>
<td>Managing performance (praising/constructive feedback)</td>
<td></td>
</tr>
<tr>
<td>Pro-activity (troubleshooting, risk management)</td>
<td></td>
</tr>
</tbody>
</table>

Ask the participants to discuss the various roles of a project manager and to outline the importance of these. Afterwards, discuss the importance of the different roles.

<table>
<thead>
<tr>
<th>Five Phases of Project Management</th>
<th>Slide 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conception and initiation (evaluate)</td>
<td></td>
</tr>
<tr>
<td>Design and plan (plan)</td>
<td></td>
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<tr>
<td>Operation (do)</td>
<td></td>
</tr>
<tr>
<td>Monitoring and controlling (track, control, report and review) (check)</td>
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</tr>
<tr>
<td>Completion and assessment (react)</td>
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</tbody>
</table>
Although these phases occur in the order outlined in the slide, it is important to understand that throughout the duration of a project, the project manager will need to measure where s/he is, evaluate whether the project is progressing as planned and determine how to correct the direction to get back on track, if required.

Conception and Initiation Overview
(What needs to get done?)

Conception
• State the problem/opportunity/idea as a human rights issue, drawing from relevant human rights standards and principles.

Initiation
• Establish the project goal.
• Define the project objectives.
• Identify the success criteria.
• Identify stakeholders/partners/support.

Defining the concept: What is to be done, why should it be done and what value does it provide if it is done?

1. Conception and Initiation
Problem/Opportunity/Idea
• Needs analysis; or situation, causal and capacity gap analysis
• A statement of fact that everyone in the organization will accept as true
• Should communicate why the project should be accomplished
• Liaise/communicate with stakeholders
• Link with larger scope initiatives to increase the value of the idea
During the first phase, the project manager will assess the current state of the corrections system by using international human rights standards and liaising with stakeholders to prioritize areas to target for change. Once the problem/opportunity/idea has been identified, the project is conceptualized and can be initiated. This process is considered a “situation, causal and capacity gap analysis” and can be linked back to the STM Unit 4 Human Rights Approach to Corrections Management. Measuring what the current situation “is” as compared to what the situation “should be” in relation to specific development standards – for example the *Standard Minimum Rules for the Treatment of Prisoners* (SMRs) and/or local legislation or corrections policy – provides an analysis of what needs to be addressed.

**Note to Instructor:** At this point, the instructor should explain to participants how individual projects link to the larger peacekeeping efforts to reform a country’s corrections system. The instructor should also discuss competing agendas that exist in the field and understand that along with funding comes expectations from donors.

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### Core Learning Activity

#### Activity 1: Conception / Initiation

The purpose of this group discussion activity is to raise the participants’ awareness of possible projects in a post-conflict country’s corrections system.

#### Learning Activity Time Required

<table>
<thead>
<tr>
<th>Activity/Time</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 minutes</td>
<td>activity introduction and instructions</td>
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<td>small-group discussions</td>
</tr>
<tr>
<td>15 minutes</td>
<td>small groups report to large group</td>
</tr>
</tbody>
</table>

**Total time:** 30 minutes

total time dependent on the number of small groups
Activity Guidelines

1. If not already done, divide the participants into groups not exceeding five people.

2. Present/show five photos from a post-conflict corrections system (instructor to add applicable photos that provoke thought into possible projects in the field).

3. Use the photos presented to identify possible projects (short term or long term). Think of the gap analysis tools provided in previous STM units and draw on past experience or general knowledge.

4. Debrief in plenary.

Note to Instructor: If the instructor has (personal) photos illustrating a post-conflict corrections system, s/he is encouraged to use these and to elaborate a bit on this topic, drawing on personal experience and on the experience among the participants of actual tasks in mission. As examples, photos should highlight issues like infrastructure, sanitation, food, water and prisoner categorization. Participants can be as creative as they wish. The objective is to link knowledge of corrections standards with the reality in the corrections system and to develop a strategy to address the standards identified.

Expected Outcome

The following are some examples of issues/projects that the participants might see in the photos:

- Sanitation, medical, food, water
- Overcrowding
- Separation of categories
- Security
- Intelligence issues
- Health services
- Discriminatory practices or behaviours within correction facilities
- Need for corrections facilities rules or some type of procedures to maintain order
### 1. Conception and Initiation

**Goal**

A project has one primary goal, in order to give purpose and direction. The goal:

- Defines the final deliverable and outcome;
- States in clear terms what is to be accomplished from a human rights perspective;
- Is a reference point for questions about the scope and purpose of the project.

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**Note to Instructor:** The instructor should ensure that participants understand the importance of the project planning phase as it forms the basis for each subsequent phase.

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### SMART objectives (within your mandate):

- Specific
- Measurable
- Assignable
- Realistic
- Time-related

**Success criteria:**

- Clearly states the bottom-line impact
- Identifies outcomes so success can be measured
1. Conception and Initiation

**Stakeholders/Partners/Support**

- Identify stakeholders (primary beneficiaries) – international bodies / national authorities / non-governmental organizations (NGOs) / civil society / corrections staff
- Identify beneficiaries – prisoners and families
- Establish partners – strategic relationships sharing a similar vision and willing to assist in the process
- Define priorities – projects with a shared vision and support are more likely to succeed
- Secure resources – short term, long term

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**Note to Instructor:** Project managers need to know from the beginning about who might have a vested interest in the outcome of the project, what their contributions might be (at various stages of the project’s implementation) and what their expectations are. The instructor should ask participants who are typical stakeholders in corrections reform.

With regard to stakeholders, the project manager must always engage with national/locally engaged staff and the local community. In addition to providing invaluable country-specific information, these stakeholders need to understand the value of the project being proposed and be involved in the process in order for it to be sustainable. In other words, to be successful, there needs to be buy-in and participation from the host country.

**Note to Instructor:** The instructor should discuss with participants how to: identify stakeholders, establish partners, define priorities and secure resources. Link this component back to STM Unit 5 Cooperation and Coordination with Key Partners.
2. Design and Plan

*How are we going to get this done?*

- Responsibility matrix (clear understanding of tasks assigned to teams or persons)
- Time schedules – what needs to be completed when (strategic approach to prioritizing tasks)
- Major milestones with target dates (reporting, handover)
- Resources (people, facilities, equipment, money, materials, time)

**Note to Instructor:** The objective of Slide 16 is to identify the areas of planning that are required, and to emphasize that, when issues are not addressed, they can eventually lead to much larger problems.

It is important that all assigned tasks have clear completion target dates. These will allow the project manager to monitor and assess the overall progress of the project. This will ensure that the project manager stays focused on the original goal(s) and will permit him/her to (re)focus or modify the activities that may (or may not) be off target.

Available resources will have an impact on every aspect of the project given that these will set the boundaries for what is, or is not, achievable within the given timeframe. Importantly, project managers must always be prepared for unexpected tasks and/or changes in resources available.

**Note to Instructor:** Brainstorm with participants on how they should, as project managers, plan time schedules. Suggest types of questions that project managers should try to answer in order to facilitate planning (e.g. Can some activities be done concurrently? Do certain tasks need to be completed before others can commence? etc.).
2. Design and Plan  
Assumptions/Risks/Obstacles

Identify factors that might affect or interfere with the outcome or completion of the project.

Types of assumptions and risks:

- Technological
- Environmental
- Interpersonal
- Cultural
- Political
- Focus energy on the “don’t know but can control variables”

Note to Instructor: Have participants brainstorm examples of each of the risks noted in Slide 17. Debrief their responses.

By understanding the types of challenges that may arise, the project manager is better prepared to overcome them. Thus, during the design phase, different options (plan B, C, etc.) or alternatives must be discussed.

The most successful project managers are those who focus their energy on the risks that, although unknown, can be controlled. This refers to making “what if” analyses; thinking through alternatives.

3. Operation  
Roll-out

- Share your vision, objectives and expectations with your team to guide the project’s implementation.
- Initial steps forward set the foundation for the entire project. An organized start will create momentum, far more than an unorganized start.
- Ensure the project is delivering the expected.
During the implementation phase, the project manager is not only responsible for ensuring that the planned tasks are taking place, but also for reviewing and reflecting on the project status.

4. Monitoring and Controlling

Reviewing

Tracking, controlling, reporting and reviewing is important to ensure the success of the project. This will take up the bulk of your time.

Key activities:

- Communication (progress, status, confirmation, challenges)
- Monitor and manage risks
- Monitor project scope (parameters, human rights priorities)
- Review objectives and work schedule
- Adjust variables as required
- Hand over? (depending on length of posting)

5. Completion and Assessment

Wrap up

- Document and debrief
- Lessons learned
- Measure success against the original objectives (did we deliver?)

Note to Instructor: Link this stage of project management to STM Unit 7 Mentoring and Advising. Participants should be able to identify that moving a project forward requires a lot of the same skills required to motivate national staff in a mentoring context.
The final stage of project management entails the evaluation of the successful components of the project and the identification of best practices and lessons learned.

### Core Learning Activity

#### Activity 2: Integration

The purpose of this group activity is to have participants work through phases 1 and 2 (conception and initiation, and design and plan) and possibly 4 (monitoring and controlling) of the five phases of project management.

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<tr>
<td></td>
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</tbody>
</table>

#### Activity Guidelines

1. In groups, take a project idea identified in Activity 1 and have groups work through phases 1 (conception and initiation) and 2 (design and plan) and possibly 4 (monitoring and controlling).
2. Groups can make assumptions on the information needed for the project.
3. Debrief in plenary.
4. Show the completed project if possible (photos).

#### Expected Outcome

Participants will understand how to practically go through the different project phases.
### Key Principles to Project Sustainability

- Shared vision
- Local ownership
- Organizational learning
- Realistic objectives
- Documentation (corporate memory)

### Why Projects Do Not Succeed

- Failure to align project with organizational (international/national) priorities
- Lack of clear objectives and understanding of the project goals
- Unrealistic expectations (e.g. scope, timeframe, resources)
- Lack of support – or involvement – from stakeholders
- Lack of project management leadership
- Inability to overcome individual and personality conflicts
- Politics (e.g. lack of buy-in, opposition to the project)
- Inability to forecast and/or manage risks
### Why Projects Succeed
- Project support
- Clearly defined objectives
- Realistic expectations (e.g. scope, timeframe, resources)
- Strong project management
- Teamwork
- Good decision-making structure
- Clear and regular communication
- Stakeholders working towards a common goal (vision)
- Political will

### Laws of Project Management
- Projects tend to take longer than expected and cost more than anticipated.
- Projects progress quickly until they become 90% complete, then they remain at 90% complete for ever (closing is difficult).
- When things are going well, something will go wrong.
- When things can’t get any worse, they will.
- When things appear to be going better, something has been overlooked.
- A carelessly planned project will take three times longer to complete than expected.
- A carefully planned project will take only twice as long.
- Project teams dislike progress reports because it highlights their lack of progress.
- In order to succeed we need to understand the challenges of the past.
Activity 3 (Optional)

Role Plays

- In groups, work through the first two stages of project management. Use the information provided in the video and the templates provided.
- A simple project management template is attached as an annex for the benefit of this exercise and for participants to use in the field.
- Make any assumptions you need to make regarding the project.
- Each group debriefs their work to the class.

Note to Instructor: Provide a copy of Annex 1 as a quick reference guide to project management.

Film *Seeds of Freedom* by Penal Reform International.

Optional Learning Activity

Activity 3: Role Plays

The purpose of this group activity is for the participants to develop a strategy they would use as a corrections officer on a peacekeeping mission.

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<tr>
<td>20 minutes</td>
<td>debrief from small groups to large group</td>
</tr>
<tr>
<td>Total time:</td>
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</tbody>
</table>
Exercise 1: Your Initial Experience as a Corrections Officer

Activity Guidelines

1. You have just arrived in a new mission and are the first United Nations corrections officer to be deployed to a provincial corrections facilities.

2. What will be your initial tasks and course of action? What do you have to consider and what is important for any plans that you develop? During your deliberations keep in mind all of the previous sessions you have completed.

3. Because of all the different possibilities here, the groups can, if they deem it important, make some assumptions when addressing this activity.

Expected Outcome

The points mentioned below are only meant as examples and should complement the outcomes of the participants.

There are numerous options for addressing this task:

- Reference to the Security Council resolution for the scope of involvement;
- National ownership;
- Assessment, needs analysis of the system;
- Identification of resources and partners that can assist;
- Encouragement of national decision-making;
- Identification of some areas where a quick success can be achieved.

Note to Instructor: Before proceeding to the assessment questions, be sure to ask the participants if they have any questions.
Annex 1

Stages of Project Management – Quick Reference Guide

1. Conception and initiation – What do I need to get done and why?

2. Design and plan – How the project is going to get done
   - What do I need (people, time, money)?
   - Who do I need (experts, partners, networks)?
   - Who will do what and when (assignments, timetables)?
   - Risks/challenges:
     - Technological
     - Environmental
     - Interpersonal
     - Cultural
     - Political

3. Operation – Getting it done (communicate, manage, support)

4. Monitoring and controlling (track, control, report and review) – Manage the progress and adjust as needed
   - Where are we? (measurement)
   - Where do we want to be? (evaluation)
   - How do we get back on track? (correction)

5. Completion (document)

6. Lessons Learned?

7. Did we meet our objectives?