

# Lesson 7



## Police Capacity-Building and Development

### Lesson at a Glance

#### Aim

To introduce the UNPOL Capacity-Building and Development (CBD) approach.

#### Relevance

Under the SGF any UN Police activity can be allocated to one of two clusters, i.e. Operations or Capacity-Building and Development (CBD). The latter of these two clusters offers long-term solutions for conflict-related issues as well as means for conflict prevention. CBD is closely related to aspects of local ownership and sustainability. It is CBD which will provide the necessary change that will lead to the intended end-state of sustainable peace. Sustainable peace itself is the requirement for a viable exit strategy of any UNPOL engagement.

#### Learning Objectives

Learners will be able to:

- Explain the long-term impact of CBD vs. the short-term impact of UNPOL operations
- Discuss the connection between CBD and the intended end-state/exit strategy of UNPOL
- State different phases of the CBD process
- Illustrate the five areas and five dimensions of UNPOL CBD
- Identify UNPOL CBD tools

## Lesson Map

The Purpose and Impact of UNPOL Capacity-Building and Development	Slide 5
The Capacity-Building and Development Process	Slide 6
Areas and Dimensions	Slides 7-11
Carana Learning Activity 4	Slide 12
CBD Tools	Slides 13 – 17
Key Messages	Slides 18-19

## The Lesson

**Duration: 90 minutes total**

30 minutes: presentation

60 minutes: analysis exercise



### Starting the Lesson

*For an interactive start to the lesson, consider the following options:*

- *Ask learners whether they are or were involved in Capacity-Building or other development processes in their domestic organisations or in a peacekeeping setting.*
- *Make a provocative statement about the sustainability of UNPOL Capacity-building and development (CBD) activities in past peace-keeping operations for example:
  - a. *“UNPOL Capacity-Building and Development is not efficient and fast enough.”*
  - b. *“There is no common standard for Capacity-Building and Development.”*
  - c. *“The host-State Police is too weak, UNPOL should do it instead.”*
  - d. *“Only executive mandates have proven to work”.**

*(...)*
- *Ask participants whether they agree or disagree with your statement and why (not).*
- *Ask participants to weigh the importance of CBD vs. UN Police Operations.*

*Introduce the following (using slides 1-4):*

- *Aim*
- *Relevance*
- *Learning Objectives*
- *Lesson Overview*

*Note the particular language of the UN. Learning will involve some words, terms and phrases which may be unfamiliar and/or seem awkward. Note to the learner: “Do not let the language get in the way of learning”. As you move through the training, review the definitions of key words and phrases.*

## The Purpose and Impact of UNPOL Capacity-Building and Development

### Slide 5



### Key Messages:

- Capacity-Building and Development is one of two core priorities of UNPOL engagement.
- CBD offers long-term solutions.

UNPOL commonly engages in either one of two ways – Operational Support and Capacity-Building and Development. Any mandate given to UN Peace Operations will call for UNPOL activities which are either Operational Support or Capacity-Building and Development. This aspect is also reflected in the 2014 Policy on United Nations Police in Peacekeeping Operations and Special Political Missions as well as in the Strategic Guidance Framework which features four sets of guidelines,

- Police Capacity-Building and Development,
- Police Operations,
- Police Command and
- Police Administration.

The performance of the national law enforcement sector plays a crucial role in a democratic civil society. Law enforcement agencies (LEAs) are the executive branch of public administration, underlining the state's claim to the monopoly on the use of force. Therefore, it is imperative that LEAs are not misused by those in power but adhere to their actual purpose – to serve its sovereign, the people.

The aim of UNPOL CBD efforts should hence be to foster host-State LEAs capability to be

- democratic,
- law abiding,
- human rights compliant and
- gender-sensitive

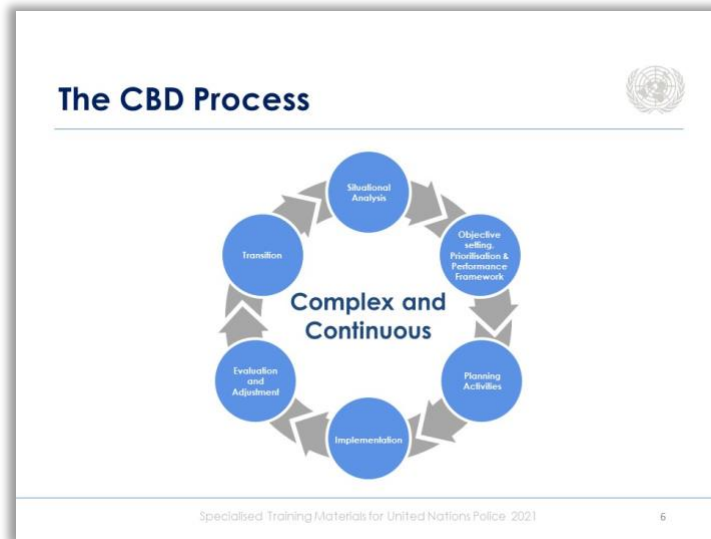
when applying a people-centred approach that values human security over state security. Human security is a human right; it refers to the security of people and communities, as opposed to the security of states. Human security recognises that there are several dimensions related to feeling safe, such as freedom from fear, freedom from want, and freedom from indignity.

**Operational support may be necessary but generally only offers immediate relief or short-term solutions for the security situation. Capacity-Building and Development takes a long-term approach which focuses on sustainability through local ownership.** As such it is this process which will allow UNPOL to reach the intended end-state of its engagement, in turn allowing for UNPOL to conclude its engagement.

Consequently, a successful Capacity-Building and Development process is essential for the UNPOL exit strategy.

## The Capacity-Building and Development Process

### Slide 6



**Key Message:** Capacity-Building and Development is a challenging, complex and continuous process. It must be addressed within the larger context of security sector reform (SSR), in particular regarding its dependence on the political development.

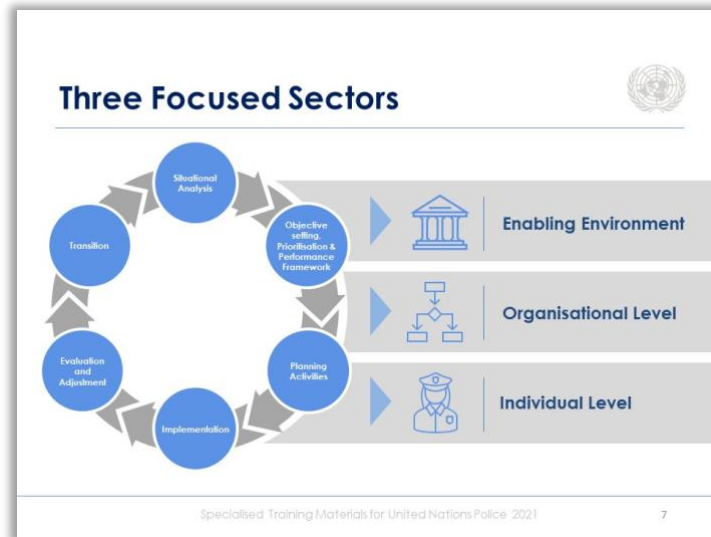
The CBD process follows a generic pattern of most management processes. The process can be broken down into the following sub-processes\*:

1. Situational Analysis
2. Objective Setting, Prioritisation and Performance Framework
3. Action Planning
4. Implementation
5. Evaluation and Adjustment
6. Transition

\*The sub-processes should be seen in relation to the different stages of Monitoring, Mentoring and Advising (MMA) which is covered in lesson 8. MMA is a tool used for CBD and therefore the sub-processes and stages are similar or the same.

It is important to understand that the CBD process is continuous and does not cease to exist due to UNPOL handing it over to national counterparts or to another development actor. It is further important to understand that the complexity and the challenge for CBD advisers stems from the multiple focused sectors, subject areas and dimensions which must be considered continuously when conducting CBD.

## Slide 7



**Key Message:** A successful CBD process addresses three focused sectors, i.e., the enabling environment, the organisational level and the individual level.

Any given CBD process must consider the multidimensional character and the high complexity of developing the law enforcement sector in a peacekeeping or peace-building setting. When engaging in CBD advisers must be mindful of all three focused sectors:

- the enabling environment,
- the organisational level and
- the individual level.

**The enabling environment employs a 360-degree view of the environment in which the organisation operates.** This includes, the political level and governance, the legal framework, relevant administrative services such as, human resources, training and personnel development, procurement and logistics as well as other stakeholders who are interested in the organisation's tasks and activities.

**UNPOL Advisers must be most appreciative of the specific context in which the organisation operates.** As an example, the governance processes are highly dependent on the structure of the law enforcement agencies. For instance, they will vary greatly when one compares federal law enforcement sectors to nationally centralised ones.

**The organisational level concerns internal structures, policy framework (e.g., SOPs), command and control, internal oversight and accountability mechanisms.** It also includes internal processes as well as external ones which involve other actors within the

security sector, e.g., prosecutor's office, courts and correctional services in regard of the criminal prosecution process.

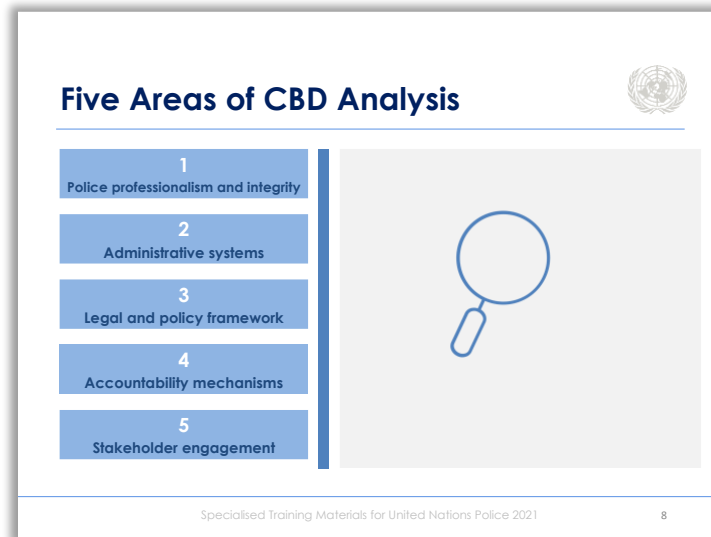
Finally, the **individual level addresses personal competence, leadership skills, motivation, personal conduct, social and cultural factors, change and development abilities of the individual law enforcement officer.**

As covered in the MMA lesson, UNPOL Mentors and Advisers are engaged at the organisational and personal level and must be highly aware of the specific context they are operating in.



## Areas and Dimensions

### Slide 8



**Key Message:** The five areas on which UNPOL CBD focuses are professionalism and integrity, administrative systems, legal and policy framework, accountability and stakeholder engagement.


The CBD process as outlined in **the Strategic Guidance Framework guidelines identifies five broad areas for UNPOL to consider:**

- 1. Police Professionalism and Integrity**
- 2. Administrative Systems**
- 3. Legal and Policy Framework**
- 4. Accountability Mechanisms**
- 5. Stakeholder Engagement**

In identifying these areas, the SGF categorises the various aspects which can be accumulated in the focused sectors.

Slides 9 and 10

### Six Dimensions of CBD Analysis



1 Police practice    2 Environmental sustainability    3 Conflict prevention    4 Human rights    5 Gender    6 Comprehensive POC

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### Areas-Dimensions Matrix

	1 Police practice	2 Environmental sustainability	3 Conflict prevention	4 Human rights	5 Gender	6 Comprehensive POC
Police professionalism and integrity	✓	✓	✓	✓	✓	✓
Administrative systems	✓	✓	✓	✓	✓	✓
Legal and policy framework	✓	✓	✓	✓	✓	✓
Accountability	✓	✓	✓	✓	✓	✓
Stakeholder engagement	✓	✓	✓	✓	✓	✓

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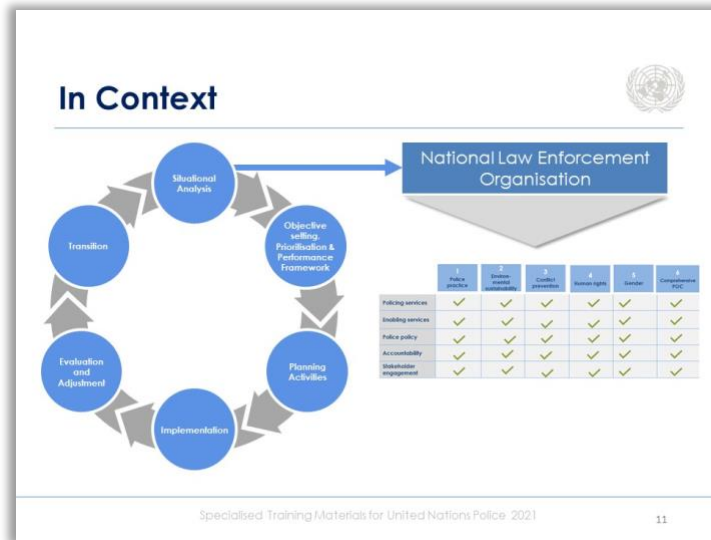
**Key Message:** The six dimensions of UNPOL CBD are police practice, environmental sustainability, human rights, gender, comprehensive protection of civilians and conflict prevention.

When addressing the afore mentioned five areas from a CBD perspective, CBD advisers should look for relevant connections to **six dimensions, which are:**

1. **Police Practice**
2. **Environmental Sustainability**
3. **Conflict Prevention**
4. **Human Rights**
5. **Gender**
6. **Comprehensive Protection of Civilians**

Identifying the connecting points between the areas and the dimensions will yield issues which must be addressed throughout the CBD process.

Slide 11



This sub-process also represents the first step in a CBD analysis of the national law enforcement organisation. Respectively, on the tactical level it is not the entire law enforcement organisation, but rather the part of the organisation to which the UNPOL CBD adviser has been assigned (e.g., a department or unit).

Police Practice<sup>1</sup> includes professional knowledge and skills on an individual basis as well as conceptual approaches, especially community-oriented- policing and intelligence -led policing as these are highlighted in the SGF.

The Human Rights<sup>2</sup> dimension determines the fundamental perspective on the work of LEAs which are obliged to act rightfully in every aspect of their policing activities and, hence, law-abiding in the endeavour to protect citizens' rights and especially human rights. Consequently, violations of human rights should trigger heightened attention and a high level of alertness on the part of UNPOL CBD advisers and, ultimately, the understanding for UNPOL's clear obligation to take action. The SGF acknowledges the importance for human rights compliance when emphasising the relevance of census, vetting and training to prevent further human rights violations. The issue of human rights violations is additionally addressed in the Human Rights Due Diligence Policy (HRDDP), which provides guidelines for the UN on how to conduct its support to the host nation depending in full on the human rights situation.

The Gender dimension<sup>3</sup> requires CBD advisers to account for the different needs of women, men, boys and girls as they are affected by law enforcement. As an example, this could include redrafting policy on interviewing or arrest and detention, setting up

<sup>1</sup> Reference is made to Sustainable Development Goal 16

<sup>2</sup> Reference is made to Sustainable Development Goal 10

<sup>3</sup> Reference is made to Sustainable Development Goal 5

specialised units for the interviewing of victims of sexual violence, building gender-sensitive facilities and training officers while informing them on the importance of gender-sensitivity.

Comprehensive Protection of Civilians refers to the primary obligation of the security sector to protect civilians from harm, not restricted to physical harm, especially originating in the former or ongoing conflict. It also accommodates for the special protection needs of women in the context of SGBV and CRSV, children and other groups who are especially vulnerable such as elderly, handicapped, minorities and refugees.

Closely related to this is the dimension of conflict prevention which requires advisers to take on a prevention focused understanding that CBD plays a critical role in creating an enabling environment and a sustainable framework within the national security architecture.


## Carana Learning Activity 4

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CBD Analysis

Slide 12

### Carana Learning Activity 4



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**Instructions**

- Work in small groups
- Review the Carana scenario
- Complete the matrix
- Present work in plenary

**Time:** 1 hour

Group work: 45 minutes  
Presentation: 15 minutes

**Resources**

- Carana scenario
- Areas-Dimensions Matrix

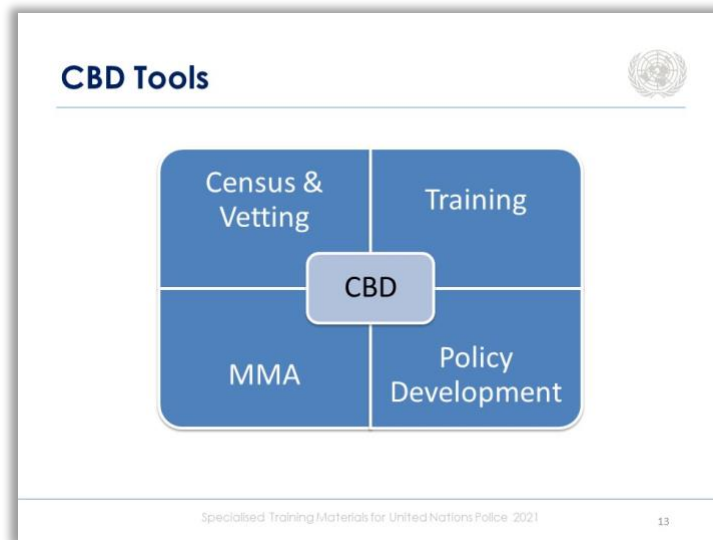
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Refer to the Facilitator's Carana Activity Workbook: Carana Exercise 4 for information on how to conduct the exercise.

## CBD Tools

### Slide 13



**Key Message:** After objectives have been set based on their analysis, CBD advisers have various tools at their disposal, e.g., census and vetting, training, monitoring, mentoring and advising as well as policy development. CBD advisers should be aware of the challenges that accompany the use of these tools.

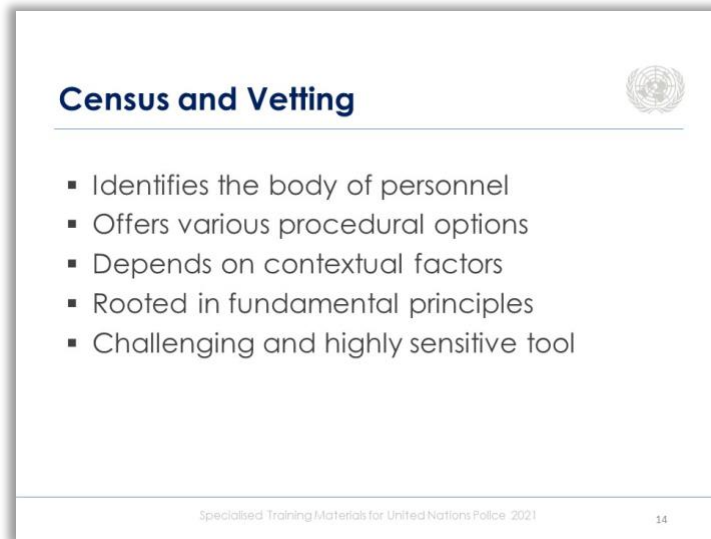
When planning their engagement CBD advisers have various tools at their disposal to design their activities. Amongst those are

- census and vetting,
- training,
- monitoring, mentoring and advising and
- policy development.

Each of these tools serves different purposes. CBD advisers who want to employ these tools should be aware that they cannot be used on a “try and error” basis. Just like an artisan’s tools can be quite powerful and require a certain competence to use them, these CBD tools require competent professionals in order to be effective. When used in an unprofessional manner these tools can become disastrous to the CBD efforts and to the mission, negatively affecting the development process as well as the credibility of the UN.

## Census and Vetting

### Slide 14



**Census and Vetting**

- Identifies the body of personnel
- Offers various procedural options
- Depends on contextual factors
- Rooted in fundamental principles
- Challenging and highly sensitive tool

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**Key Message:** Census and vetting aim at identifying and defining the body of personnel of the respective LEA.

Census and vetting identify the boundaries of the body of personnel of the respective LEA. In doing so, personnel not eligible under the relevant criteria (e.g., having committed human rights violations) are removed while ineligible candidates are prohibited from entering into service. The intention is to prevent actions of misconduct which were committed by service personnel in the past from tainting the reform process and the reputation of the LEA in the future.

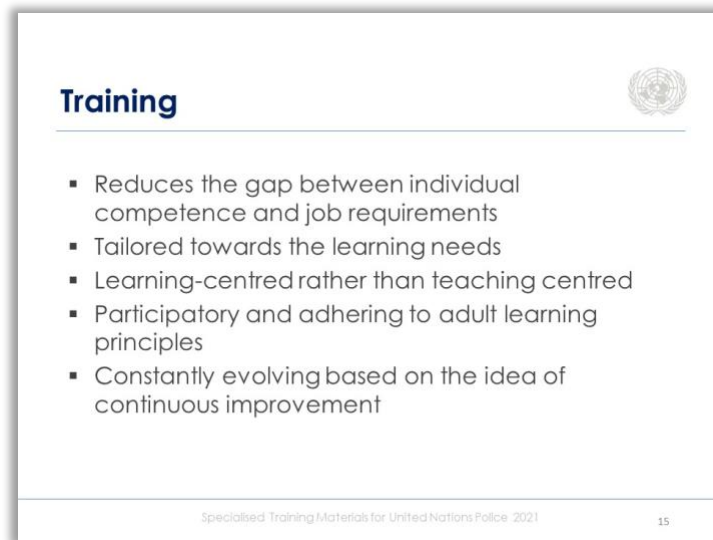
Census and vetting programmes heavily depend on the political will to execute such a programme. The mission mandate will determine whether the CBD advisers find themselves in the driver's seat and actually "run" the programme or merely support the process while leaning on local counterparts to implement the programme. The quantity and the quality of human rights violations and available resources are also important factors.

Census and vetting programs can address senior level officials, single units, recruits, support personnel or could be executed as a comprehensive programme. Such programmes require national ownership, must be based on the law, need due process, adhere to individuals' rights and involve proper risk management as well as individual responsibility. Furthermore, vetting processes may not be used to replace criminal prosecution of human rights violations.



## Training

### Slide 15



**Training**

- Reduces the gap between individual competence and job requirements
- Tailored towards the learning needs
- Learning-centred rather than teaching centred
- Participatory and adhering to adult learning principles
- Constantly evolving based on the idea of continuous improvement

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**Key Message:** The purpose of training is to close or at least reduce the gap between an individual's competence and the requirements set by the task he or she is to perform.

Training can be used to improve a person's capability to perform a certain task. As such it can be a powerful tool to improve an organisation's fitness to perform its tasks.

Yet, training is limited in its ability to compensate for poor education or recruitment. Disregarding this limitation, training is often misapplied to reduce the impact of such shortcomings.

Supposedly simple to implement, it is commonly used as a one-size-fits-all activity in development and reform efforts. Training yields its best results, when tailored toward the specific needs of the training audience. Apart from the training needs, the focus of training should further centre on the audience's learning process, its ability to learn, its learning culture and its interest/motivation to learn.

A training analysis of these factors will render information on the proper content, the level of sophistication of the content, the training methodology, the didactical approach, and training's limitation in a certain situation – in other words, training's feasibility to lend itself as a CBD activity in the specific context.

## Monitoring, Mentoring and Advising

### Slide 16



**Monitoring, Mentoring and Advising**

- Monitoring – Allows for recommendations to the host-State on how to build on achievements and address shortcomings in their LEAs
- Mentoring – Promotes professional growth and personal motivation through inspiration
- Advising – Builds or strengthens the institution, either by helping solve a problem or accompanying the entire reform process

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**Key Message:** Monitoring, Mentoring and Advising presents a complementary package of activities which allow CBD actors to support local/national reform processes.

Monitoring, Mentoring and Advising (MMA) presents a complementary package of activities which allow CBD actors to support local/national reform processes.

Monitoring provides a tool for CBD advisers to gain and retain a picture of their area of work within the specific context. Advising and mentoring allow for situational assistance (advising) and support in personal development (mentoring). As such, advising and mentoring complement each other.

All MMA activities require subject matter expertise, inter-personal skills and differing profiles in CBD advisers. To employ MMA effectively, CBD advisers should be aware of their own abilities and limitations and their fitness with regard to these requirements. MMA is most effectively used in colocation settings.

## Policy Development

### Slide 17



**Policy Development**

- Provides a strong legal and normative basis
- Sets standards and landmarks for orientation for other CBD activities
- Can help in securing political support
- Allows for the introduction of international standards
- Requires dissemination of, information and training on and compliance with new rules and regulations


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**Key Message:** Sound and concise policy is required to provide a clear and coherent directive for development processes. Policy development is a natural point of entry for CBD advisers to build momentum and direction for a CBD process.

Proper policy development offers an opportunity for CBD advisers to set standards and provide operational and even strategic orientation for a reform process. Policy development offers a great starting point to introduce international professional and legal standards for LEAs. Where expedient, it should be connected and coordinated with initiatives on the legislative level, as further political support for the current CBD process may be generated thereby.

New or revised policy requires further actions of implementation in order to yield an effect. Dissemination, information campaigns, special training, advisory initiatives and compliance monitoring are examples for suitable activities to complement the introduction of new legal and professional standards.

Slides 18 and 19

**Summary of Key Messages** 

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CBD is one of two core priorities of UNPOL engagement.

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CBD offers long-term solutions.

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CBD is a challenging, complex and continuous process. It must be addressed within the larger context of security sector reform (SSR), in particular regarding its dependence on the political development.

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**Summary of Key Messages** 

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A successful CBD process addresses three focused sectors: the enabling environment, the organisational level and the individual level.

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The five areas on which UNPOL CBD focuses are professionalism and integrity, administrative systems, legal and policy framework, accountability and stakeholder engagement.

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The six dimensions of UNPOL CBD are police practice, environmental sustainability, human rights, gender, comprehensive protection of civilians and conflict prevention.

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*Emphasize the key points from this lesson. Ask participants to reflect on how each of these points will apply to their roles as IPOs.*

The aim of this lesson was to provide a holistic overview of the topic of CBD and how it relates to other tasks of UNPOL. The lesson familiarised participants with the relevant steps of the process and gave them the opportunity to take their first steps in addressing a basic CBD-related task.

## Reference Materials

- 2014 Policy on United Nations Police in Peacekeeping Operations and Special Political Missions
- 2015 DPKO/DFS Guidelines on Police Capacity-Building and Development
- 2017 DPKO/DFS Manual on Police Monitoring, Mentoring and Advising in Peace Operations

## Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition/Working Definition
Activity	Action taken to transform inputs into outputs
Assumption	Hypothesis about risks, influences, external factors or conditions that could affect the progress or success of a programme/sub-programme. Assumptions highlight external factors, which are important for programme/sub-programme successes, but are largely or completely beyond the control of management
Baseline	Data that describes the [current] situation to be addressed by a programme, sub- programme, or project and that serve as the starting point for measuring performance the status quo based on the result of an analysis (as opposed to being based on assumption)
Benchmark	A reference point or standard against which performance or achievement can be assessed [or compared]. It often refers to an intermediate target to measure progress within a given period as well as to the performance of other comparable organisational entities
Capacity	Aptitudes, resources, relationships and facilitating conditions necessary to act effectively to achieve some intended purpose. (Performance, personnel, workload, supervisory, facility, support services, systems, structural, role).
Capacity-Building	The efforts to strengthen capacities – targets individuals, institutions and their enabling environments
Contingency plans/planning	Contingency plans are alternative plans and strategies to the original programme plan that can be implemented when required. Contingency planning is based upon the assumption that alternative action can be developed more effectively and efficiently if they are prepared before

	the risk or crisis materialises, rather than reactively and under stress
Effectiveness	The extent to which expected programme/sub-programme activities are achieved
Efficiency	Measure of how well inputs (funds, expertise, time, etc.) are converted to outputs
End-state	The end-state of the UN Field Mission is the desired state of affairs in the country on completion of the Security Council mandate
Evaluation	A systematic and objective process seeking to determine the relevance, effectiveness, and impact of a programme/subprogramme related to its goals and objectives
Impact	It is the overall effect of accomplishing specific results and, in some situations, it comprises changes, whether planned or unplanned, positive or negative, direct or indirect, primary and secondary that a programme/sub-programme helped to bring about
Indicator	Measure, preferably numeric, of a variable that provides a reasonably simple and reliable basis for assessing achievement, change or performance. A unit of information measured over time that can help show changes in a specific condition
Input	Personnel and other resources necessary for producing outputs and achieving accomplishments
Logframe	Management tool used to identify elements of a programme or sub-programme (objective, expected accomplishments, indicators of achievement, outputs and inputs) and their causal relationships, as well as the assumptions and external factors that may influence success and failure. It facilitates planning, implementation, monitoring and evaluation of a programme [or sub-programme] or project
Monitoring	A continuing function that uses systematic collection of data on specific indicators to provide management and the main stakeholders of an ongoing intervention with indications of the extent of progress and achievement of objectives and progress in use of allocated funds

## Lesson 7: Police Capacity-Building and Development

Objective	An objective refers to an overall desired achievement involving a process of change that is aimed at meeting certain needs of identified end-users within a given period of time
Outcome	In the United Nations Secretariat, "outcome" is used as a synonym of an accomplishment or a result
Output	The final product or deliverables by a programme/sub-programme to stakeholders, which an activity is expected to produce in order to achieve its objectives. Outputs may include reports, publications, training, meetings, security services, etc.
Performance	The degree to which a programme or project delivers results in accordance with stated objectives, timely and effectively as assessed by specific criteria and standards
Planning	A structured process through which a UN Field Mission develops a plan to achieve its mandate(s) and in a way that is responsive to the environment. Planning includes elements, such as agreeing on objectives, priorities, strategies and activities, and guides the acquisition and allocation of resources to achieve the objectives. Planning takes place from the top of the results-hierarchy downwards.
Police Reform	A process of transformation at individual and institutional levels to increase capacity and integrity
Qualitative data	Information that is not easily captured in numerical form (although it is possible to quantify). Qualitative data typically consists of words and normally describe people's opinions, knowledge, attitudes or behaviours
Quantitative data	Information measured or measurable by, or concerned with, quantity and expressed in numerical form. Quantitative data typically consists of numbers.
Result	The measurable accomplishment/outcome (intended or unintended, positive or negative) of a programme/sub-programme. In the Secretariat practice, "result" is synonymous with accomplishment and outcome
Results-based budgeting	A programme budget process in which: (a) programme formulation revolves around a set of



	predefined objectives and expected results; (b) expected results would justify resource requirements which are derived from and linked to the outputs required to achieve such results; and, (c) actual performance in achieving results is measured by objective performance indicators
Risk	The effect of uncertainty on objectives
Security Sector	Defence, law enforcement, corrections, intelligence services and institutions, border, immigration, customs, civil emergency response, etc., judicial sector and prosecution services, actors that play a role in managing and overseeing the design and implementation of security, such as ministries, legislative bodies and civil society groups, non-State actors that may be included - customary or informal authorities and private security services.
Security Sector Reform (SSR)	Process of assessment, review and implementation as well as M&E led by national authorities. Goal - enhancement of effective and accountable security for the State and its peoples without discrimination and with full respect for human rights and the rule of law. SSR is at times, also referred as security sector governance, security sector transformation, security sector development or security sector management, as well as security and justice reform depending on the context. For UN, SSR should be considered in the context of the linkages between the UN's assistance, conflict prevention and peacebuilding, also taking into consideration the views of relevant UN organs and actors (S/PRST/2011/19)
SMART	<p>An acronym often used when creating programme and sub-programme planning elements. It stands for specific, measurable, achievable, realistic/relevant and time-bound.</p> <p>(S) Specific: Planning elements that are related to the mandate.</p> <p>(M) Measurable: Quantifiable planning elements that are easily monitored and evaluated for programme/sub-programme success and progress, making it easier to report to stakeholders on progress.</p> <p>(A) Achievable: Indicated by planning elements that can happen in the specific period.</p>

	<p>(R) Realistic/relevant: Being ambitious in creating programme/sub-programme goals and objectives is encouraged; however, managers must ensure that planning elements remain realistic. Managers must also ensure that planning elements fall within mandated tasks.</p> <p>(T) Time-bound: Managers must ensure that the objectives they have created are achievable within the necessary time frame.</p>
Stakeholder	An agency, organisation, group or individual interested in a programme/subprogramme's end results
Sustainability	The extent to which the impact of the programme or project will last after its termination; the probability of continued long-term benefits
Threat	Any factors (action, circumstance or event) which has the potential or possibility to cause harm, loss or damage to the United Nations system, including its personnel, assets and operations
Trust Fund	Accounts established with specific terms of reference or under specific agreements to record receipts and expenditures of voluntary contributions for the purpose of financing wholly or in part the cost of activities consistent with the organisation's aims and policies