



SECURITY THROUGH JUSTICE

Participant Guide



Office of Knowledge Management
Bureau of International Narcotics and Law Enforcement Affairs
U.S. Department of State

INL Predeployment Program



Welcome to INL PREP: A learning experience that prepares you to collaborate with your overseas counterparts in support of criminal justice development programs for the U.S. Department of State. This interactive program leverages your experience and expertise to enhance learning.

Participant Profile: Qualified experts preparing to deploy on international assignments serving as police, justice, and corrections advisors, providing a broad range of advice and technical assistance to build the capacity of host nation criminal justice systems.

Location: Dulles, VA

Duration: 8 Days

	Mon	Tue	Wed	Thu	Fri	Sat	Sun	Mon
0900–1030	<i>Contract activities as required (e.g., MOB)</i>	Mission Experience – Daily life challenges – Preparation – Coping w/ realities	Promoting Human Rights – Human rights – Abuses	Navigating Legal Systems – Rule of law – Legal traditions & systems	Managing Projects – Planning mistakes – Planning & team building	Serving as an Advisor – Purpose and role – Capacity building	Travel Health & Safety – Travel & personal preparation	CAPSTONE
1030–1200	<i>Starts at 1030</i> INL Program Brief*	– Rules of conduct <i>CONTRACTOR BREAKOUT at 1100</i>	– Vulnerable populations – Available resources – Preventing sexual exploitation & abuse	– Legal system of your host nation	– Building a strong foundation – Measuring success – Managing people	– Attributes – Working with Host-State	– Outdoor & natural disaster safety – Security threats to U.S. citizens	SUMMARY & EVALUATION
	LUNCH BREAK		LUNCH BREAK		LUNCH BREAK			
1300–1430	About INL – Welcome – State Dept. – INL mission	Country Explorer* – Country overview – Political structure	Promoting Gender Perspectives – Gender inequality in context	<i>Program Option</i> a b	Leading People & Teams – Defining leadership – Conflict resolution	<i>Group Activity or Assignment</i>	– Dealing with traumatic injuries	ADVISORS RELEASED 1300
1430–1600	<i>Cont.</i>	– Economy – People & society – Daily life	– Equal access to justice – Promoting inclusion	Facilitating Peacekeeping	– Building teams – Leading & motivating teams	<i>Cont.</i>	<i>Cont.</i>	
	 MISSION <i>Operational Success</i> * Country breakout session		 HUMAN RIGHTS <i>Commitments & Challenges</i>		 GLOBAL CITIZENSHIP <i>Learning w/o Borders</i>		 ADVISORSHIP <i>Your Primary Role as Mentor & Advisor</i>	
					 PERSONAL SAFETY <i>Your Health & Safety</i>		Version 11/19	

Participant Consent & Release Form

Please complete, sign, and return this page to the moderator.

I, _____, hereby grant and convey to the U.S. Department of State an unrestricted license, to use for any purpose, including, but not limited to, educational, promotional, or advertising purposes, without limitation and consistent with the mission of the Department of State, all photographs, videos, or other media depicting me or any photographs, videos, or other media taken by me and provided to the Department of State. I further agree to release and hold the Department of State harmless for any claims, actions, or damages that may result from the display of any of the photographs, videos, or other media.

I understand that I may decline to give my consent (by not signing this Form) and still continue to participate in all program activities without being disadvantaged with respect to those activities.

Participant's signature

Date

Printed name

Participant's home country

INL program

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About INL

This module familiarizes you with the sponsoring agency and its mission, policies, and goals.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Define the mission, policy, and authority of the U.S. State Department’s Bureau of International Narcotics and Law Enforcement Affairs (INL)
- Explain the work INL does around the world
- Identify your role in supporting the INL mission

Topics

- U.S. Department of State
- INL mission and goals
- INL organization and history
- How programs get funded and executed

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 50 minutes

About INL



U.S. Department of State

- Leads U.S. foreign policy through diplomacy, advocacy, and assistance
- Represents the American people and advocates U.S. interests abroad
- Negotiates treaties and agreements
- Coordinates and supports international activities of other U.S. agencies
- Has a [global](#) presence with a major impact on American [communities](#)



Established in 1789 as the nation's first executive department, its duties include advising the U.S. President, administering the nation's diplomatic missions, negotiating treaties and agreements with international bodies.

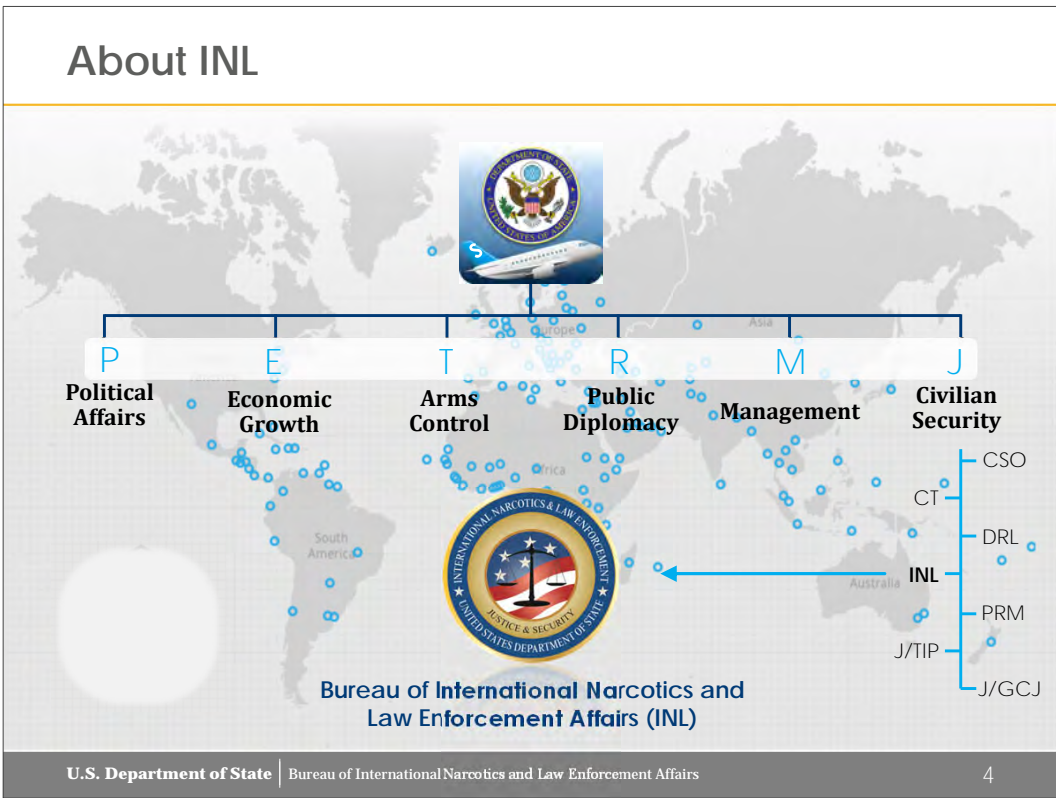
As the lead U.S. foreign affairs agency, the U.S. Department of State represents the United States at more than 270 diplomatic locations around the world, including embassies, consulates, and missions to international organizations (e.g., UN).

The Secretary of State (S), the ranking member of the Cabinet and fourth in line of presidential succession, is the President's principal advisor on foreign policy and the person chiefly responsible for representing the United States abroad.

The primary goal of the Secretary of State and the U.S. Department of State is to shape a freer, more secure, and more prosperous world through formulating and implementing the President's foreign policy, while supporting and protecting American interests abroad.

Learn more about the State Department by visiting:

- <http://www.state.gov>
- <http://state.gov/r/pa/map>
- <http://diplomacy.state.gov/discoverdiplomacy>



Organizational components of the Department:

- Political Affairs (P)
- Economic Growth, Energy, and Environment (E)
- Arms Control and International Security (T)
- Public Diplomacy and Public Affairs (R)
- Management (M)
- Civilian Security, Democracy, and Human Rights (J)

Bureaus under J:

- Conflict and Stabilization Operations (CSO)
- Counterterrorism (CT)
- Democracy, Human Rights, and Labor (DRL)
- **Int'l Narcotics and Law Enforcement Affairs (INL)**
- Population, Refugees, and Migration (PRM)

Offices under J:

- Monitor and Combat Trafficking in Persons (TIP)
- Global Criminal Justice (GCJ)

INL is part of the Department's multi-faceted response to criminal threats. Dedicated to strengthening criminal justice systems, countering the flow of illegal narcotics, and minimizing transnational crime, INL plays a key role in leading the development, synchronization, and implementation of foreign assistance to help other countries fight drug and crime.

INL advises the President, Secretary of State, other bureaus, and USG agencies on the development of policies and programs to address international crime and illegal drugs.

About INL



Mission

To keep Americans safe by countering crime, illegal drugs, and instability abroad.

Disrupt or deter
*illicit drug trafficking
and other transnational
criminal activity*

Leverage talent
*resources, and data-driven
analysis to deliver efficient
and effective programs*



Reduce instability
*in strategically vital regions
and strengthen the
resilience of partners*

Drive global action
*through international
engagement to combat
shared criminal threats*

INL works to keep Americans safe at home by countering international crime, illegal drugs, and instability abroad. INL helps countries deliver justice and fairness by strengthening their police, courts, and corrections systems, reducing the amount of crime and illegal drugs reaching U.S. shores.

INL’s foreign assistance programs and diplomatic engagement are critical tools in advancing U.S. policy objectives. INL’s functional bureau strategy identifies strategic goals that guide INL’s efforts:

- Disrupt or deter significant illicit drug trafficking and other transnational criminal activity that threatens U.S. national security, public safety, or drives irregular migration to the U.S.
- Reduce instability in strategically vital regions and strengthen the resilience of partners facing malign influence.
- Drive global action through international engagement that promotes interoperable criminal justice systems and common standards to combat shared criminal threats.
- Leverage talent, resources, and data-driven analysis to deliver efficient and effective programs in a safe and secure manner that demonstrate results.

Learn more about INL at: www.state.gov/j/inl

About INL



Partnering with professionals

We work closely with U.S. law enforcement agencies to develop and advance the skills of foreign counterparts.

INL partners with U.S. criminal justice professionals and organizations to:

- Reduce crime and corruption
- Counter drug-related crime
- Improve police institutional capabilities
- Strengthen individual rights and equal justice for everyone

Number of countries INL works in

90+



95+

Partnerships in over 25 states



INL partners with U.S. Federal, state, county, and municipal criminal justice organizations to accomplish this work and employs subject matter experts (SMEs) to help develop better police, prosecutors, judicial officials, and corrections officers.

We draw from the widest range of U.S. expertise in our implementation of criminal justice capacity-building programs, ranging from basic police training to complex cybercrime and money laundering investigative techniques. This work enhances critical relationships between U.S. law enforcement entities and their foreign counterparts.

About INL



Supporting the rule of law

We focus on developing the host nation’s criminal justice system or the 4 Cs.

Cops

Train, mentor, and advise police to effectively detect, prevent, and investigate criminal activity



Courts

Develop judges, prosecutors, and investigators so that legal systems are responsive and transparent



Corrections

Improve correctional facilities and prisoner treatment standards



Counterdrug

Demand reduction, interdiction, eradication, border control, and maritime security



Criminal justice assistance is a core component of rule of law development, which is critical to assisting countries in fighting destabilizing effects of crime and corruption and in promoting good governance.

Internationally accepted standards in defining the *rule of law* include the following:

- All are accountable under the law
- Clear, stable, and just laws that are applied evenly
- Accessible, fair, and efficient process of enacting, administering, and enforcing the law
- Timely justice delivered by competent and neutral officials who are broadly representative of society

Currently, INL manages criminal justice assistance programs in over 90 countries, employing thousands of people in the field to implement these programs. They help partner nations build their capacities to extend the reach of justice under the rule of law, including respect for human rights and gender equality, and deny criminals safe haven and impunity from justice.

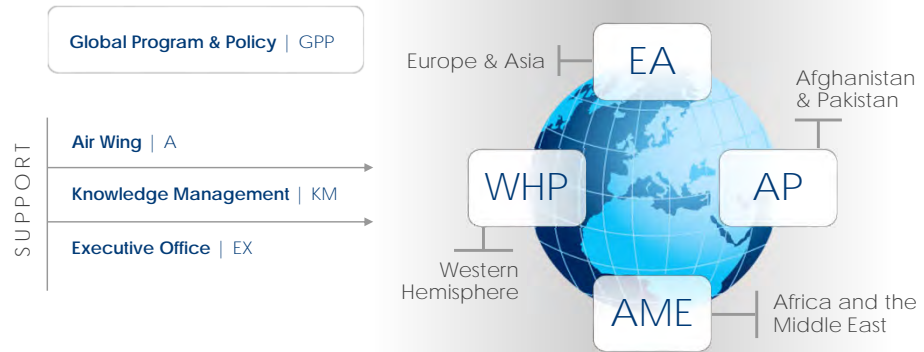
SOURCE: (S/2004/616) Report of the Secretary-General on the Rule of Law and Transitional Justice in Conflict and Post-Conflict Societies

About INL



Organization

INL is strategically organized to fight transnational crime in the 21st Century



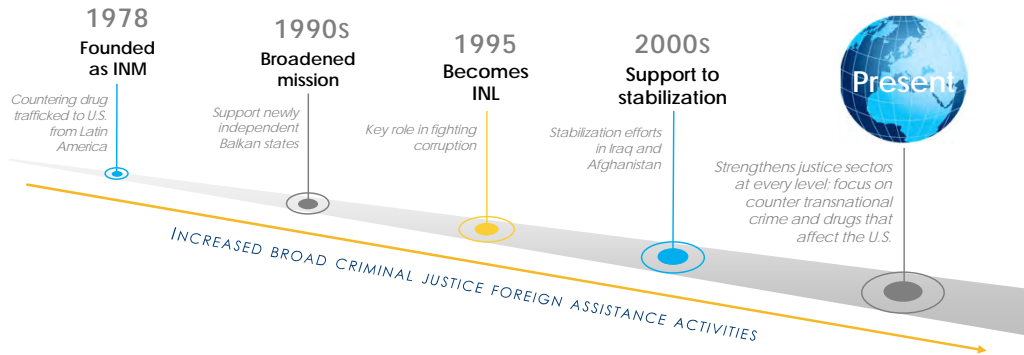
One of our greatest strengths is our flexibility to confront emerging challenges, but we can be most effective if we are strategic in how and where we engage to build partner nation capacity.

About INL



History

INL's 40-year legacy of keeping Americans safe by countering crime, illegal drugs, and instability abroad.



Formed in 1978 as INM (Bureau of International Narcotics Matters); focused counter-drug activities, primarily against coca and opium poppy eradication in Latin America, Mexico, Thailand, and Burma.

Law enforcement affairs were added to the bureau in 1994 changing the bureau name from INM to INL. INL immediately moved into several post-conflict operations in quick succession: Haiti, Bosnia/Croatia, Kosovo, East Timor, Liberia, Afghanistan, Liberia, and Iraq.

During the late 1990's onward, INL increased substantially non-drug activities while increasing broad criminal justice foreign assistance activities.

About INL

Requirements for foreign assistance

- U.S. interest
- Need for assistance
- Political will for change

Additional considerations

- National security
- Program needs
- Priorities



Foreign assistance is aid given by the United States to other countries to support global peace, security, and development efforts to provide humanitarian relief during times of crisis. It is a strategic, economic, and moral imperative for the United States and vital to U.S. national security.

The U.S. manages foreign assistance programs in more than 100 countries around the world through the efforts of over 20 different U.S. government agencies. These investments further America's foreign policy interests on issues ranging from expanding free markets, combating extremism, ensuring stable democracies, and addressing the root causes of poverty, while simultaneously fostering global good will.

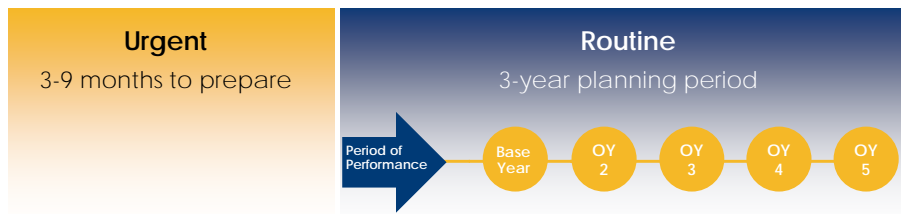
Learn more about foreign assistance by visiting:

→ <http://foreignassistance.gov>

About INL

How funding works

1. Need recognized (*S, Embassy, INL program office*)
2. Bi-lateral agreement or MOU signed (*gov-to-gov*)
3. Program designed (*SOW, funding source, budget*)
4. Solicitation issued (*for individuals or companies*)
5. Awarded and performed



Where does the money come from?

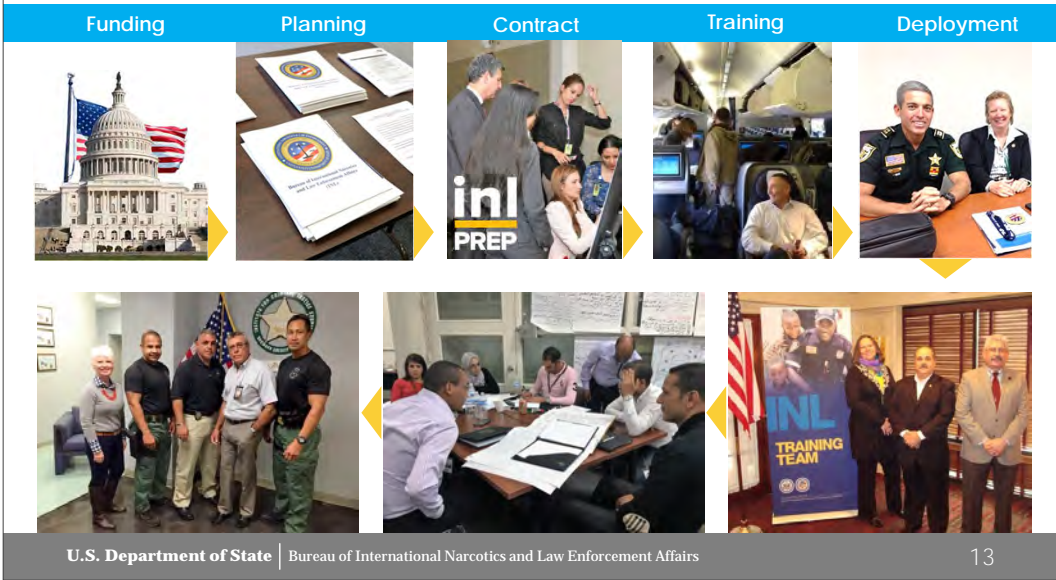
Federal government funding is a very complicated, tedious, long, and somewhat mysterious process involving the executive (White House/Administration) and legislative (Congress) branches of government. Careers are dedicated to this!

A typical routine process to initiate a new INL program follows a three-year timeline. Congress provides funds on an annual basis for a period of one-year, i.e., Congress does not "forward fund" INL programs (i.e., INL does not receive funds intended to fund projects for multiple years, although once funds are received and "obligated" they are available to INL until expended). If Congress fails to reach consensus or the White House rejects the annual budget, funds can be made available via a continuing resolution (CR) at previous levels and for previously approved programs.

An expedited process to address an urgent White House initiative can involve complex legal issues, special Presidential authorities, urgent notifications and briefings to Congress, new funds, or shifting of existing funds. Funds can be made available to INL in 3-8 months.

About INL

How programs are implemented



Your expertise serves as a response to the INL 'program office' requirement generated from INL recommendations, U.S. Embassy query, a DOS regional bureau, or a White House initiative. All of these involve a request from, or a perceived need on behalf of a foreign government.

You took a lot of steps to get where you are today, let's review the overall process:

1. The INL budget request to the U.S. Congress is formulated to support a comprehensive strategy for combating the global threat of international crime and illegal drugs. INL programs, in over 90 countries, account for seven percent of the State Department's foreign assistance appropriations.
2. INL regional program office works with functional offices to develop a SOW, and identify a funding source(s) and estimated budget, which includes resources to acquire and support your participation.
3. INL contracts with private companies to recruit, select, equip, and deploy SMEs in policing, criminal prosecution, court administration, judicial, and correctional programs.
4. INL requires mentors and advisors to complete predeployment training (INL PREP) in the U.S. for deployment and assignment readiness.
5. Following INL PREP training, participants deploy to their host country to work with their counterparts.

inl
PREP

SECURITY THROUGH JUSTICE

Mission Experience

Bureau of International Narcotics and Law Enforcement Affairs (INL)



Mission Experience

This module provides you with strategies for coping with the challenges of living and working in the field.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Recognize the realities and hazards of field work
- Identify assignment expectations and rules of conduct
- Evaluate resources for successfully transitioning in and out of the field

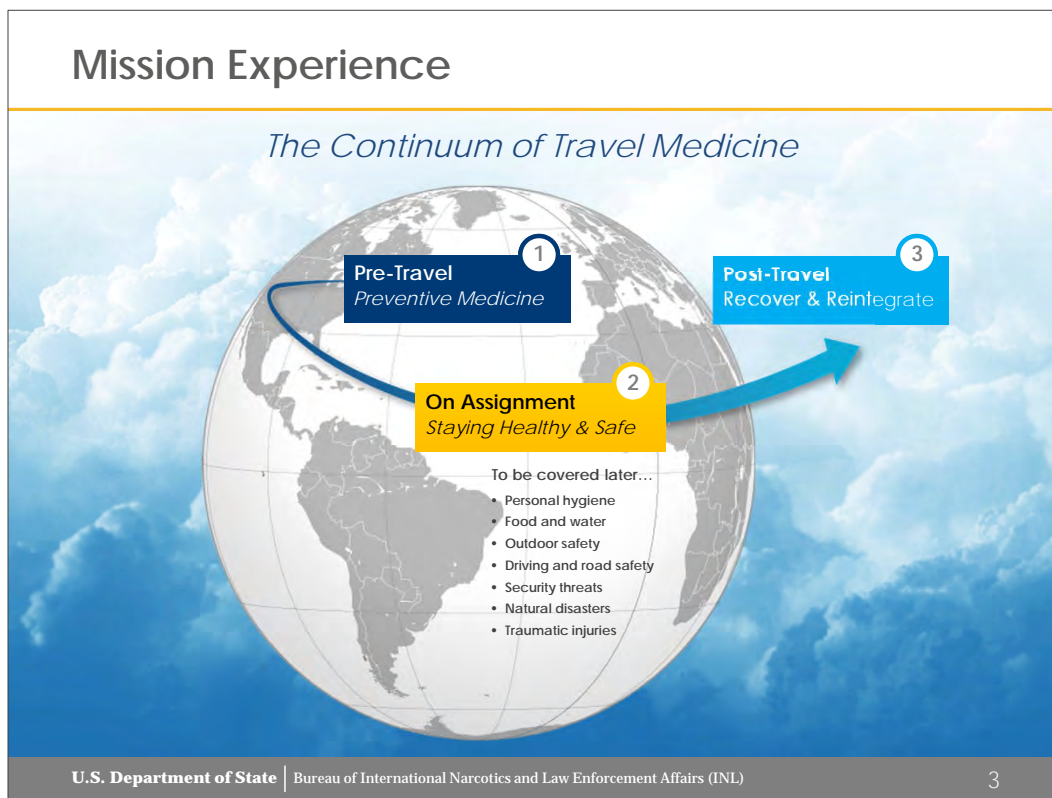
Topics

- Travel preparation
- Staying healthy, safe, and in control
- Preparing for deployment
- Working with your employer

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Mission Experience



It is important to realize that there is more to travel health than immunizations and malaria chemoprophylaxis.

Travel medicine is a continuum that can be viewed in three stages:

1. Pre-Travel (preventive medicine)
2. On Assignment (staying healthy and safe)
3. Post-Travel (recover and reintegrate)

In this module, we will review the Pre- and Post-Travel stages in detail, covering what should happen in each to reduce the risk of disease, sickness, and injury. The On-Assignment stage will be covered in an upcoming module related to travel health and safety.

Mission Experience

1
Pre-Travel
Preventive Medicine

What should you do?

- Domestic arrangements
- Medical arrangements
- Professional arrangements



Vaccines

Routine	Recommended	Required
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Screenings & Medications

Allergy	Pre-/Post-exposure	Treatments
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Personal Protections

Basic first aid	Insect repellents	Protection
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Before leaving on an assignment, you need to make sure you are well equipped with the knowledge and tools needed to tackle any upcoming challenges. You are responsible for preparing yourself both professionally and personally.

Prior to your departure, there are some key things you should do and pack. These will vary based on your individual circumstances and needs. Consider the examples below, thinking about what would help you manage the expected challenges of your mission.

Domestic Arrangements

- Prepare your family
- Pay bills in advance
- Set up power of attorney
- Create a living will and a last will and testament

Medical Arrangements

- Get any needed vaccinations or checkups
- Obtain appropriate insurance coverage

Professional Arrangements

- Ensure that your issued equipment, such as helmet or flak jacket, fits and functions correctly
- Learn about your mission’s history and goals

You should also consider supplemental travel, travel health, and medical evacuation insurance to cover medical care and evacuation should you become ill or injured.

Mission Experience

You are responsible for preparation!

Handle travel documents early!

Prepare early to preserve your health and safety

Research where you will be going, working, and living and how to act while there

U.S. Department of State | Bureau of International Narcotics and Law Enforcement Affairs (INL)

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Before your trip, familiarize yourself with the environment, history, culture, and living conditions of your assigned location. Make sure you conduct the necessary research and find out more about the region's:

- Climate and terrain
- Food
- People
- Living conditions
- Cultural traditions & faux pas
- History of diseases, viruses, potential health concerns

The international development environment brings together a diverse set of individuals and organizations, all of whom have different national, institutional, and personal backgrounds.

Cultural differences often lead to misunderstanding and can cause tension or conflict. Common mismatches may originate around differing approaches or perspectives, such as:

- Expectations about what action is appropriate
- The speed and directness with which responses should be made
- The motivations that guide action

You can help balance these sources of tension by:

- Making an effort to learn the local language and working with an interpreter as necessary. Many cultural perspectives are embedded in language.
- Being prepared to manage differing perspectives on common concepts, such as human rights, gender, mentoring, etc.
- Being aware of your own cultural background and its historical context with the host country, such as an historical footprint of colonialism or occupation. Understanding your own culture's history and customs will help you be more culturally sensitive in your interactions with your counterparts.

Mission Experience

Common challenges

- Lack of infrastructure and resources
- Cultural differences/ culture shock
- Differing perspectives on common concepts
- Language barriers
- Historical context
- Motivations

REGROUP

Precautions

- Common illnesses and treatments
- Dress to protect
- Staying safe on the road, at home, and at work
- Finding time for recreation



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When it comes to staying healthy during your assignment, prevention is stronger than cure. The most common illnesses are diarrhea, fever, and infection. The culprits causing these hide in mundane, everyday living.

Be sure to take proactive precautions, and don't think you are too tough to be affected by something small and seemingly benign. Protect against pests with clothing, repellents, and mosquito nets. Minimize exposure to bacteria and viruses by practicing good hygiene, hand washing, drinking bottled water only, and proper cleaning/ preparation of food.

Accidents, especially while on the road, are a leading threat to your safety in the field. Again, your best defense is being proactive:

- Stay informed and knowledgeable of possible risks regardless of your location (work, home, road, or leisure).
- Stay alert and level-headed during your work, leisure, and travel.
- Be sure to wear protective clothing correctly, such as your helmet or flak jacket.
- Understand the threat, signs, and appropriate reaction for mine hazards, improvised explosive devices (IEDs), and unexploded ordnance (UXOs).

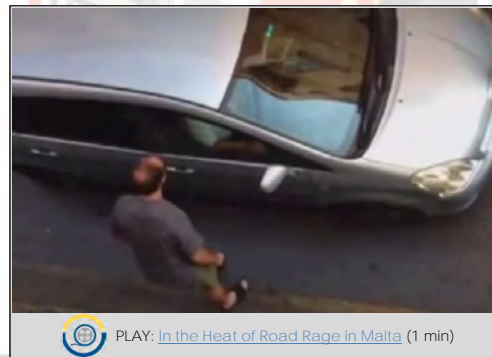
Mission Experience

Expectations & Rules of conduct

- Obey all host country laws
- No special status or diplomatic immunity in host country
- No espionage or intel work
- No publicity or media interviews
- Follow UN/U.S. contingent chain of command/contractor
- Only authorized supply of weapons and training – ITAR

PROTECT YOUR ETHICS

- Act impartially when carrying out official duties
- Do not become obliged to someone – personally or professionally
- Do not use position for private gain (gifts, favors)



While on assignment, you must follow all host country laws. You will receive NO special status or immunity if you violate local laws. You are responsible for knowing the laws of your host country. The challenges and stressors you will face can affect your judgment in a situation. A lapse in judgment or ignorance of the local laws may result in you breaking the law, even unintentionally.

Media/Intelligence Gathering: You may not act in any intelligence-gathering capacity unless it is your specific duty. You should be aware that various agencies from the U.S. are working in different capacities within a mission area.

UN/U.S. Contingent Chain of Command/Contractor: It is against UN policy to supply information to your home government or officials. This is a function of the contingent staff and your employer. If you feel that an issue needs attention, you must field it through the contingent and/or your employer.

Supply of Weapons/Training: You are not allowed to share or donate any items, knowledge, or training to foreign police officers without the knowledge and approval of INL and your employer. These items include, but are not limited to, batons, ammunition, uniforms, etc. This policy is covered under various U.S. laws and regulations, such as International Traffic in Arms Regulations (ITAR).

Mission Experience



Considerations for UN Missions

- Non-family area
- Induction training
- Dress codes and uniforms
- Allowances and benefits
 - Compensatory Time Off (CTO)
 - Mission Subsistence Allowance (MSA)
 - Extension requests

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Non-Family Mission Area: The UN has deemed its operations as non-family mission areas. This means your family members cannot visit or live with you during your assignment, including any leave time used in the host country. The UN is very serious about this policy.

Induction Training: This training is delivered to all personnel (military, police, and civilian) upon arrival in the field. It builds on what advisors have learned in pre-deployment training. It provides them with detailed information on how to carry out their jobs effectively in that specific assignment.

Dress Codes and Uniforms: UN peacekeepers can be recognized by the light blue berets, helmets, and UN insignia. Individuals assigned to peacekeeping duties usually retain the right to wear their country's national uniform. If you are not required to wear a uniform, it is recommended that you keep it simple and dress down, not up.

Allowances and Benefits

- Compensatory Time Off (CTO)/Attendance & Leave (AL) is earned at .2 days for each day worked, and AL is earned at 2.5 days for each month. You may not use more than 24 days combined CTO/AL at one time. If you are out of the mission area for more than 24 days (for any reason), the UN can automatically end your assignment and repatriate you.
- Mission Subsistence Allowance (MSA) is paid by the UN at the end of each month. Your MSA amount will be higher for the first 30 days (\$216/day) to cover your initial hotel costs. After that, it is \$150/day for the remainder of your assignment. The allowance is to cover housing, food, and related expenses. You will not be deployed to a region until you have received your first MSA distribution.
- A normal tour of duty is 1 year, and extensions are granted as an exception only if it is deemed essential for operational reasons, not as a matter of routine. Submitted requests will be addressed by the police commissioner in the respective UNPKO 3 months prior to the assignment's end date.

Mission Experience

On Assignment
Staying Healthy & Safe

2

Healthy Mindset

Attitude + Preparedness

 Flexible Attitude	 Basic Survival	 Realistic Expectations
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Living and working in a developing country is rewarding and enriching, but it is also full of challenges and risks. Developing and maintaining a healthy, mission-focused mindset can equip you to successfully manage challenges, expected and unexpected, as well as avoid risk where possible.

The following are key to creating and maintaining a healthy, sustainable, mission mindset and are vital for staying healthy, safe, and in control while on an assignment:

- **Flexible attitude:** Expect the unexpected, and try to avoid predicting how things will go or be.
- **Basic survival skills:** Know the basic first aid and survival skills you may need in the field.
- **Realistic expectations:** Understand and be comfortable with your role as an advisor, not as doer or implementer.

Mission Experience

Defining stress

- Types of stress
- Heightened mission stress
- Differing reactions

Planning for stress

- Holmes-Rahe stress inventory



Stress is a normal reaction to an abnormal situation. It serves an important function in self-preservation or protection during a threatening situation. Fortunately, stress in the field is a predictable occupational hazard.

Missions are characterized by risks, conflict, suffering, and isolation. These extraordinary challenges increase anyone's risk of stress, regardless of individual competence or resilience.

An individual's reaction to stress will differ depending on multiple personal influences, such as experiences, education, professional skills, age, physical fitness, self-esteem, approach to life, and more.

The Holmes-Rahe stress inventory was developed by observing the way different stressful life events affected health of 2,500 U.S. sailors in the long term. 43 different life events were identified and assigned scores based on the amount of stress they inflicted on the sailors.

For the next activity, you will be filling out a simplified version of the Holmes-Rahe stress inventory.

Mission Experience

Stress inventory decoded



Points	Risk
0-15	Low risk to health
15-30	50% risk of health breakdown in 2 years
30+	80% risk of health breakdown in 2 years



Mission Experience

Stress management

- Plan for stress
- Test your stress
- Take care of yourself
- Pack a comfort kit



If left unaddressed, stress can become detrimental to your overall health. Cope in advance by preparing yourself as much as possible. Being aware and informed can allow you to recognize the signs early and stop the stress reaction from escalating into a real problem in the short- and long-term future.

Prolonged separation from your loved ones and support systems can affect your ability to cope with the extraordinary stress in the field. Stay in close contact with loved ones, and consider packing a few familiar reminders from home, for example:

- Photos of family and friends
- Music or home movies
- Inexpensive trinkets for your home or work space

If you are not able to function effectively, you will not be able to help anyone else. Remember your needs on a daily basis:

- Eat well and stay hydrated
- Exercise regularly
- Take breaks and vacation

Mission Experience

Dangers of unmanaged stress

- Burnout
- Coping mechanisms
- Substance abuse
- Signs of abuse



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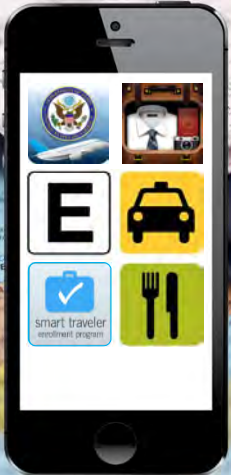
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The high levels of stress involved in your daily work can be a breeding ground for substance abuse. This includes not only extreme cases of overdoses and visible drunkenness but also subtle, long-term issues of addiction and intoxication. Substance abuse is a non-productive way to manage stress and can lead to a host of added issues including absenteeism, accidents, and low job performance. If you recognize any of these signs of alcohol or substance abuse in yourself or a colleague, seek help from a professional.

Mission Experience

1

Pre-Travel
Preventive Medicine



Preparing for deployment

- Educate yourself ▼
- Research your country/location ▼
- What types of health risks? ▼
- What does CDC recommend? ▼
- Register at <https://step.state.gov>

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Register with the U.S. embassy in the host country before your departure, so that you can receive security updates and be included in the local consulate's evacuation plans. Visit the Smart Traveler Enrollment Program (STEP), a free service that allows U.S. citizens to enroll their trip with the nearest U.S. embassy or consulate: <https://step.state.gov>

Leveraging Technology - With the continued advances in technology, travelers now have access to more tools than ever for staying safe while on the road. One of the most vital of these tools is the smartphone. With the right travel applications (apps), the smartphone can be a major help in ensuring safe travel. The right apps can make getting to your destination and being there a little bit easier. Here are some basic apps that travelers rely on worldwide:

- Compass / GPS / Phone Finder
- Language Translator
- Flashlight / Nightlight
- World Clock / Alarm / Weather
- Currency Converter / Calculator
- Airline (boarding pass) / Car ride services

NOTE: Before you travel, ensure that your phone is equipped to work internationally (with charger). Find out your carrier's data plan and any associated costs. Most apps require data and internet access through either your carrier or Wi-Fi. There are, however, apps that are designed to function offline without data.

RESOURCES

- **Bureau of Consular Affairs:** <https://travel.state.gov>
- **Smart Traveler** official DOS app with easy access to updated official country information, travel alerts/warnings, maps, U.S. embassy locations, etc.
- **CDC "Yellow Book"** (published every 2 years) www.cdc.gov/travel

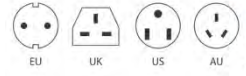
Mission Experience

Don't forget the necessities...

- Medications / contact card
- Basic first aid
- Toiletries
- Protective clothing
- Items for daily living
- Travel plug adapter
- Safety and security
- Emergency cash



REGROUP



Clothing and equipment requirements for each assignment vary according to the location, climate, culture, season, and state of the local economy. You should research the resources available at your destination to determine how extensive your packed supplies should be. You can be expected to be fully independent and self-sufficient throughout your assignment with regard to clothing and personal effects. During your periods of leave, consider restocking personal items.

Plan to carry an individual medical kit to care for minor health illnesses or injuries related to traveling. A travel health kit can help ensure you have the supplies you need to manage preexisting medical conditions and treat any exacerbations of these conditions. The contents of the medical kit should be clearly marked, including the names of the medications and instructions for their use.

Packing Considerations:

- Bring extra cash for initial or emergency expenses
- Bring an ample supply of prescribed medications
- Identify items you will need based on the climate and culture of your host country
- Pack essential items as a carry-on in case your checked-in luggage is delayed

Mission Experience

3
Post-Travel
 Recover & Reintegrate

Returning home

- Consider how you can begin to make life normal again now that “normal” means something completely different than it did before your assignment
- Continue to pay attention to your health
- Reconnect with your:
 - Spouse/Significant Other
 - Children
 - Parents



Seek medical care if you were injured during your trip or become ill after returning. Make sure your doctor knows that you recently returned from an overseas assignment.

If you are returning from a malaria-risk area, it is very important that you continue taking your antimalarial drug for 4 weeks (if taking doxycycline or mefloquine) or seven days (if taking atovaquone/proguanil) after leaving the risk area.

It is advisable to have a medical examination on your return, especially if you:

- Suffer from a chronic disease, such as cardiovascular disease, diabetes mellitus, or chronic respiratory disease or have been taking anticoagulants
- Experience illness in the weeks following your return home, particularly if fever, persistent diarrhea, vomiting, jaundice, urinary disorders, skin disease, or genital infection occurs
- Received treatment for malaria while travelling
- Have been exposed to a serious infectious disease while travelling

Contractor Breakout (1 hour)

Each contractor is allotted time within the Mission Experience module to cover contractor-specific information. This is an opportunity to provide advisors with current details on the ground, practical living advice, and the support available to them by your company. Please make the necessary arrangements so that an experienced representative from your organization can provide advisors with the valuable knowledge outlined below.

Currently there is no prescribed presentation format, but the below outline contains the recommended topics advisors will need during this period. You may use your own corporate presentation, handouts, or other relevant material to cover these topics. It is highly recommended that you observe the previous section of this module to complement what INL provides to advisors.

If you have any questions, please contact a member of the INL training team, or email: INL-TRAINING@state.gov

TOPIC	<input checked="" type="checkbox"/>	GENERAL INFORMATION
1. Mission background	<input type="checkbox"/>	How your company started working on this mission, team/org chart, understanding the situation, office locations, points of contact, etc.
2. Deployment and in-processing	<input type="checkbox"/>	Logistics, travel documents (visa), airport/city orientation, etc.
3. Geography and climate	<input type="checkbox"/>	Basic orientation to the geography and weather of the host country.
4. Dress codes and uniforms	<input type="checkbox"/>	5.11, clothing (on and off duty), cultural sensitivity, protective gear, weapons, laundry service, etc.
5. Medical and dental care	<input type="checkbox"/>	Available medical services and emergency precautions
6. Power, devices, and adapters	<input type="checkbox"/>	Power outages/generators, voltage, electrical outlets, and plugs
7. Financial management	<input type="checkbox"/>	Expatriate taxation, accepted currencies, exchange rate, ATMs, shopping, etc.
8. In-country support	<input type="checkbox"/>	Contact info, lodging/housing, transportation, mail service, personal time/recreation, communications, internet, etc.

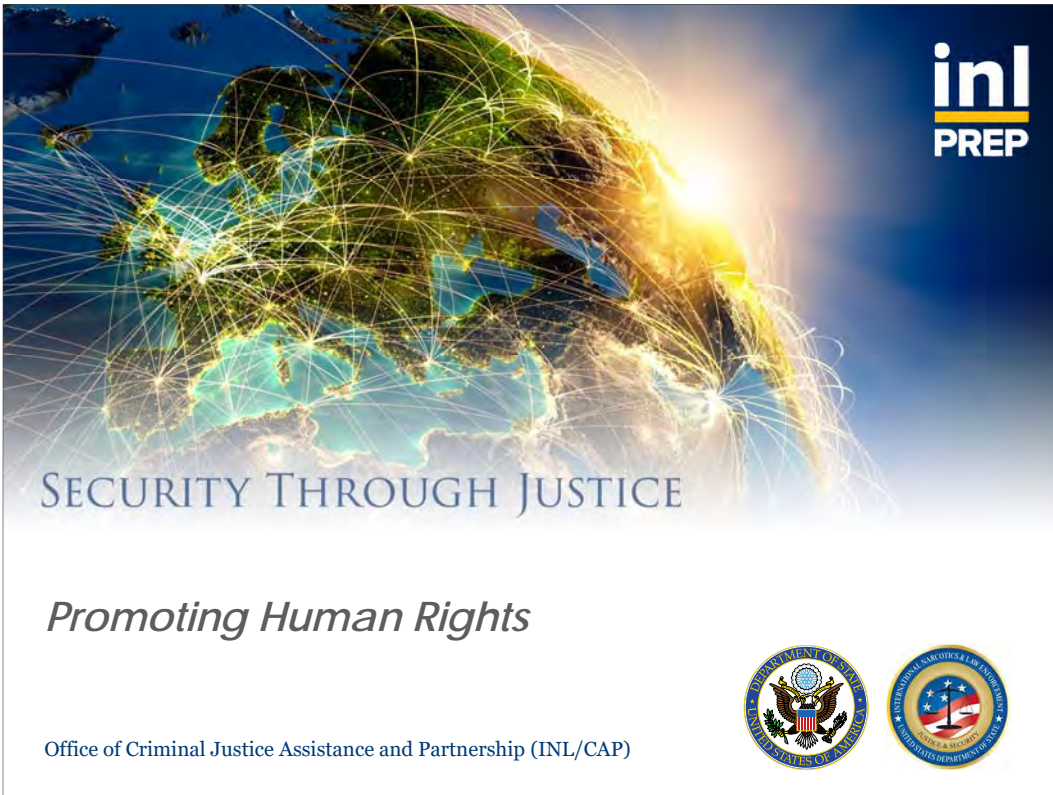
Standards of Conduct

The Contractor shall ensure that personnel assigned to this contract observe the highest standards of personal and professional conduct, and that employees assigned to locations outside the United States observe the requirements of the local law and applicable U.S. mission regulations, including but not limited to instructions or policies governing outside employment, commercial activities, currency exchange, travel restrictions, and for U.S. Personnel and locally employed staff non-fraternization with host country nationals.

The Contractor is responsible for recruiting and hiring only those personnel who can maintain the standards of conduct required under this contract. Additionally, the Contractor is responsible for maintaining satisfactory standards of employee conduct and integrity and shall be held fully accountable for the conduct of its employees and its subcontractor's employees.

If the Contracting Officer determines that continued performance under this contract by any Contractor or subcontractor personnel is contrary to the public interest, the Contractor shall remove the employee from all work under this contract. The costs incurred for the removal of personnel for violations of standards of conduct, including but not limited to travel or defense of litigation, shall not be allowable under this contract unless the Contracting Officer determines that the Contractor fulfilled its responsibility in the recruitment, employment and oversight of the individual(s) involved.

Additionally, the Contractor shall adhere to the prohibition of specific activities including any unauthorized involvement in trafficking of person, unauthorized frequenting locations known to be involved with prostitution or trafficking persons, any involvement with the soliciting of persons for the purpose of engaging in sexual acts and any participation in sexual activity in exchange for any monetary or non-monetary form of consideration as described in FAR 52.222-50.



Promoting Human Rights

This module provides you with an overview of universal human rights, wide-spread abuses and circumstances that allow abuses to flourish, the populations most at risk of abuse, and steps to take in support of human rights.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Define human rights in the global context
- Describe the role of a criminal justice system
- Explain the circumstances that lead to human rights abuses
- Identify the available resources for supporting human rights

Topics

- Universal human rights
- Criminal justice system
- When human rights are abused
- Your responsibilities & resources

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Promoting Human Rights

What are human rights?



What Are Human Rights?

Human rights are the fundamental rights and freedoms inherent to all human beings, regardless of nationality, place of residence, sex, ethnic origin, color, religion, language, or any other status.

Universal Declaration of Human Rights

Conceived as "a common standard of achievement for all peoples and all nations," the Universal Declaration of Human Rights (UDHR) has become a standard to measure the degree of respect for, and compliance with, international human rights standards. The declaration sets forth general principles of human rights and, in combination with other international treaties and conventions, works to promote and protect fundamental freedoms for all individuals and groups.

How is the UDHR different from the U.S. Constitution?

The UDHR lists the rights that all people around the world should have whereas the U.S. Constitution and Bill of Rights describe and protect the human rights of all people in this country. Although both documents have a similar purpose and protect some of the same rights, the key difference rests not in the words, but in the audiences to which they speak to and of.

Read more about the UDHR

www.un.org/en/universal-declaration-human-rights

The declaration is divided into its preamble and **30** articles (*in parenthesis*) organized in five sections:

1. **Guiding philosophy** (1)
2. **Basic principles of equality and non-discrimination** (2)
3. **Civil and political rights** (3 – 21)
4. **Economic, social, and cultural rights:** (22 – 27)
5. **Entitlement to social and international order:** (28 – 30)

Promoting Human Rights



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REGROUP

Fundamental principles of human rights

- Universal and inalienable
- Interdependent and indivisible
- Equal and non-discriminatory
- Both rights and obligations



6

The Universal Declaration of Human Rights relies on the following fundamental principles to promote and protect the freedom of individuals and groups.

Universal and Inalienable

Human rights are universal; they are inherent to all human beings regardless of nationality, place of residence, sex, national or ethnic origin, color, religion, language, or any other status. The universality of human rights is the cornerstone of international human rights law and has been emphasized and reiterated in numerous international human rights conventions, declarations, and resolutions.

Human rights are inalienable; they should not be taken away except in specific situations that follow due process.

Interdependent and Indivisible

Human rights are interdependent; the improvement of one right facilitates the advancement of the others and the deprivation of one right adversely affects the others. Human rights are indivisible.

Equal and Non-Discriminatory

Non-discrimination is a principle present in all major human rights treaties and provides a central theme in international human rights law. This principle is complemented by the concept of equality.

Rights and Obligations

Human rights include obligations in addition to individual rights. For states, they assume certain obligations and duties under international law:

- **Obligation to respect:** States cannot interfere or curtail the enjoyment of human rights.
- **Obligation to protect:** States are required to protect individuals and groups against human rights abuses.
- **Obligation to fulfill:** States must take positive action to facilitate the enjoyment of basic human rights.

Promoting Human Rights



UN Human Rights Council Chamber in Geneva



Non-binding

INTERNATIONAL LAWS
Binding for signatories

REGIONAL TREATIES
Binding for signatories

NATIONAL LAWS
Binding for signatories

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The United Nations (UN) came into being in 1945, shortly after the end of World War II. The stated purpose of the UN is to bring peace to all nations of the world. After World War II, a committee of persons headed by Mrs. Eleanor Roosevelt wrote a non-binding document which declares the rights that everyone in the entire world should have—the Universal Declaration of Human Rights.

The international human rights movement was strengthened when the UN General Assembly, 192 member states of the UN, adopted the Universal Declaration of Human Rights (UDHR) in 1948.

The rights it promotes are affirmed in international treaties that are binding upon the states that ratified them. Among the treaties are the:

- International Covenant on Civil and Political Rights
- International Covenant on Economic, Social and Cultural Rights
- International Convention on the Elimination of All Forms of Racial Discrimination
- Convention on the Elimination of all Forms of Discrimination Against Women
- Convention Against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment
- Convention on the Rights of the Child

By creating and joining regional human rights treaties, States have agreed to respect, protect, and guarantee the enjoyment of specific freedoms for all people within their territories. States may be held accountable for violations of these freedoms that are caused by the State's laws or actions, as well as for violations that the State or its agents allowed to occur or failed to prevent.

National laws are the operative and enforceable laws within a country. Some countries align their national laws closely to international laws and actively enforce those laws while others loosely model it and do not enforce their laws, making the protection of human rights a challenge.

Promoting Human Rights



What's the role of a criminal justice system?

- Protect human rights
- Ensure due process
- Provide equal access to justice



police



judiciary



corrections

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A criminal justice system comprises interrelated, component organizations that have key roles in a criminal justice process. When those organizations work together successfully, each becomes more effective and better able to protect public safety, promote the rule of law, and ensure a transparent, credible process of justice. The sections below highlight the general functions of a criminal justice system; however, the functions vary in each nation.

The Police Function

The police are responsible for protecting public safety by encouraging voluntary compliance with the criminal law, preventing crime, and maintaining reasonable levels of public tranquility.

The Judicial Function

The primary role of the judiciary is to interpret and apply the law in the name of the state. The judiciary's role is determined by the type of legal system in which it operates: adversarial or inquisitorial and common law, civil law, customary law, religious law, or a mixed legal system.

The Corrections Function

The corrections system— including detention, imprisonment, probation, parole, and community supervision—supports the criminal justice system by safely, securely, and humanely controlling or confining individuals who have broken or been accused of breaking the law, either before or after a criminal trial.

Promoting Human Rights



police

Principles of policing

- Encourage fair and impartial enforcement of laws
- Honor human rights and human dignity
- Protect public safety
- Prevent crime
- Maintain reasonable levels of public tranquility

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The nature and extent of police authority, jurisdiction, responsibilities, and limitations are contained in the constitution and laws of every country. These authorities include laws and specifications defining the types of activities in which the police can engage, body of law they are charged with enforcing, and human rights guarantees of the public.

Police accountability systems ensure that all members of a police organization are held accountable for their performance and conduct. Accountability requires a combination of a code of conduct that defines acceptable and unacceptable behavior; a legal framework within which the police operate; and policies and procedures that serve as operational guidelines.

Accountability is best maintained by management that ensures all police personnel are fully aware of expectations of performance and obligations to their organization and the citizens they serve.

The nation's criminal laws also play a role in ensuring police accountability. Being a member of a police organization provides no protection for breaking the law. A police officer is subject to criminal prosecution for on or off-duty conduct that violates the host nation's criminal laws.

Promoting Human Rights

judiciary

Principles of the justice system

- Criminal justice systems that uphold law and order play a vital role in creating a safe, secure environment
- Judiciary’s role is determined by the type of legal system in which it operates

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An effective and accountable criminal justice system investigates and prosecutes criminal offenses, ensures civilian security, and guarantees fundamental rights, including due process. It helps fight against organized crime, trafficking in persons and illicit trade, corruption, terrorism, and violent conflict.

The right to a fair trial is a norm of international human rights law designed to protect individuals from the unlawful and arbitrary curtailment or deprivation of other basic rights and freedoms. Judges should have the freedom to decide cases impartially, in accordance with their interpretation of the law and the facts. They should be able to act without any restriction or improper influence.

Individuals must be afforded the right to counsel and the opportunity to defend themselves against criminal charges. In some countries, legal provisions may already be in place for court-appointed defense counsel or a public defender office; in others, such provisions might not yet be in place. In either situation, criminal defense may be provided by non-state actors such as bar associations and non-governmental organizations.

Promoting Human Rights

Principles of the corrections system



- Essential component of an effective and stable criminal justice system
- Safely, securely, and humanely confines those who have committed or have been accused of committing an offense
- Includes detention, imprisonment, probation, parole, and community supervision



Correctional systems support law enforcement and the judiciary, and promote public safety by safely, securely, and humanely managing individuals in conflict with the law while providing opportunities for them to rehabilitate and successfully integrate back into society. These systems must be structured and managed in such a way that respects the rights of the prisoners, staff, and members of the public.

The first mission of any correctional system must be public safety. This means ensuring that institutions are secure from breach internally or externally and that prisoners residing in community settings are properly supervised according to their risk.

There are many conventions and norms that define human rights. These rights apply not only to prisoners and detainees but also to staff, visitors, and the public. It is the responsibility of a corrections system to respect and protect the human rights of the people it impacts.

Correctional systems must be transparent to the people they serve; everyone who works under the authority of the system must be held accountable for their actions.

Promoting Human Rights

Share your responses

A criminal justice system will be only as effective as its component parts



Police: The most common abuses include:

- Excessive use of force
- Using physical force to extract a confession
- Misusing non-lethal equipment, such as tear gas or rubber bullets
- Confining a suspect under inhumane conditions pending trial
- Raping and sexually abusing women, children, and men
- Participating directly or indirectly in extrajudicial killings and disappearances
- Verbally & physically torturing and abusing suspects
- Conducting arbitrary arrests of members of opposition parties, journalists, human rights workers
- Not taking complaints seriously
- Bribery
- Disappearances
- Targeting certain populations

Judiciary: The most common abuses include:

- Judges arbitrarily charging fees to initiate criminal prosecutions
- Judges and prosecutors failing to respond to those who could not pay
- Prosecutors and judges seeking bribes
- Defendants held in prison awaiting trial for periods well beyond the term allowed by law
- Judges and magistrates subject to political pressure
- Unevenly administered justice

- Legal aid programs limited and not always provided free of charge
- Jurors subject to influence and corruption

Corrections: Conditions in prisons and detention centers can be harsh and life threatening because of:

- Torture and excessive use of force
- Overcrowding and poor sanitation
- Chronic prolonged pretrial detention
- Lack of due process
- Sexual assault, sexual exploitation, and retaliatory actions
- Open-ended, arbitrary sentences
- Food and water shortages
- Corruption and mismanagement

Promoting Human Rights

Who Are at Risk of Abuse?

- Men, women, and children
- Refugees, migrants, and internally displaced persons
- National/religious minorities and indigenous people
- Disabled persons
- People living in extreme poverty
- The aged
- Prison populations
- Members of the lesbian, gay, bisexual, transgender, and intersex (LGBTI) community
- Journalists and human rights activists
- Political opposition



In situations of armed conflict or government instability, entire populations or particular sectors of the population are often subject to serious human rights violations, such as extra-judicial killings, torture and ill-treatment, starvation, disappearances, and arbitrary detention.

There are particular groups who, for various reasons, are weak and vulnerable or have traditionally been victims of violations and consequently require special protection. When the abuse comes from the very source that is in place to protect the fundamental rights and freedoms inherent to all human beings, the vulnerable or at-risk population suffers most.

Promoting Human Rights



Recognizing Sexual Exploitation and Abuse

Exploitation

Actual or attempted abuse of a person's vulnerability, differential power, or trust for sexual purposes, including profiting monetarily, socially, or politically from the exploitation

Abuse

Actual or threatened intrusion of a sexual nature, whether by force or under unequal or coercive conditions

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Sexual exploitation and abuse (SEA) is a form of gender-based violence. In nearly every place we work, gender-based violence is endemic. Key causes of gender-based violence are:

- Lack of respect for human rights
- Abuse of power
- Gender inequality

It is likely that gender-based violence and SEA will be prevalent in communities where these conditions exist. SEA is almost always linked to the abuse of power. Understanding issues of power is critical in understanding the problem of sexual exploitation and abuse.

While boys and men can certainly be victims of SEA, in most settings around the world women and girls are the majority of victims because of issues of gender inequality. Being aware of the gender dimensions of SEA is important in combating it. However, any efforts to address SEA must not exclude boys and men as potential targets/victims.

Sexual exploitation and abuse violate universally recognized international legal norms and standards and has always been unacceptable behavior and prohibited conduct for U.S. advisors.

An international task force on Protection from Sexual Exploitation and Abuse (PSEA) was established to combat SEA through four pillars:

1. **Engagement with local populations:** raising awareness among local populations about their rights and entitlements and building effective complaint mechanisms
2. **Prevention:** developing and implementing codes of conduct, training and raising awareness among personnel, establishing hiring mechanism to prevent hiring persons who have committed SEA
3. **Response:** systems in place to properly handle allegations of SEA that are brought to the attention of personnel of the UN, NGOs and other international organizations
4. **Management and coordination:** activating focal point networks, strengthening management's fulfillment of its PSEA responsibilities, inserting standards into contractual agreements, and adherence to monitoring/compliance mechanisms

Read more: www.pseatastaskforce.org

Promoting Human Rights

Trafficking in Persons (TIP)

- Root causes include poverty, discrimination, violence, and the general insecurity often related to armed conflict
- Exists in lawful and illicit labor markets
- Affects skilled and unskilled workers

Combating TIP

- 4 P's — Prevention, Protection, Prosecution, and Partnerships
- TIP Report



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Combating human trafficking is a complex, multi-faceted issue and the “4P” paradigm – **prevention, protection, prosecution, and partnerships** – serves as the fundamental international framework used by the U.S. and the world to combat human trafficking.

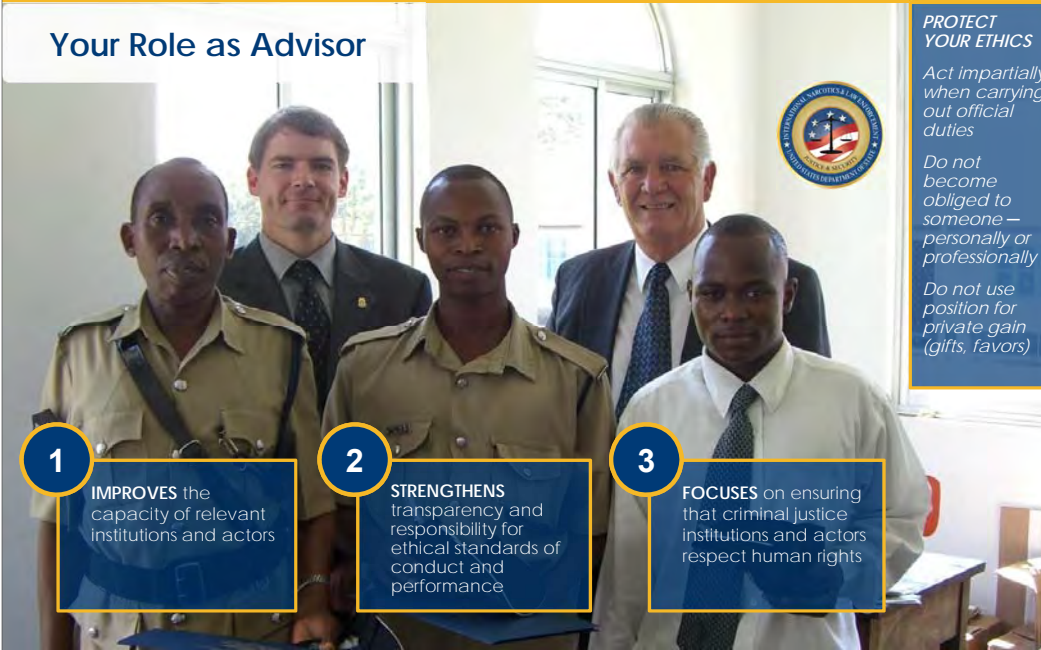
- **Prevention** efforts come in many forms including providing robust labor law enforcement; strengthening partnerships between law enforcement, government, and nongovernmental organizations; emphasizing effective policy implementation with stronger enforcement, and better reporting.
- **Protection** efforts include the rescue, rehabilitation, and reintegration of identified victims. Proactive identification efforts and training for first responders are of paramount importance to a government’s ability to combat human trafficking as well as making the rights and needs of victims a priority.
- **Prosecution** is an indispensable element for government programs to fight trafficking. Sentences should reflect consideration of the severity of an individual’s involvement in trafficking, imposed sentences for other grave crimes, and the judiciary’s right to hand down punishments consistent with that country’s laws.
- **Partnerships** require a comprehensive response of government and nongovernment entities with the expertise, resources, and efforts in such areas as human rights, labor and employment, health and services, and law enforcement.

Available Tools

- TIP Report: www.state.gov/j/tip/rls/tiprpt/
- TIP 101: www.state.gov/j/tip/training
- TIP Heroes: www.tipheroes.org/resources

Promoting Human Rights

Your Role as Advisor



1

IMPROVES the capacity of relevant institutions and actors

2

STRENGTHENS transparency and responsibility for ethical standards of conduct and performance

3

FOCUSES on ensuring that criminal justice institutions and actors respect human rights

PROTECT YOUR ETHICS

Act impartially when carrying out official duties

Do not become obliged to someone – personally or professionally

Do not use position for private gain (gifts, favors)

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INL programs are designed to fight injustice and promote laws and court systems that are effective, accountable, and transparent and to institutionalize respect for human rights and the rule of law. **Your role as mentor is crucial to the success of these programs.**

These programs provide assistance to the justice sector that:

- **Improves** the capacity of relevant institutions and actors to address justice and security needs of all members of society successfully and efficiently
- **Strengthens** transparency and responsibility for ethical standards of conduct and performance, transparent processes and procedures, mechanisms to address abuse of authority and position, and structural safeguards for the independence and non-politicization of justice sector institutions and actors
- **Focuses** on ensuring that criminal justice institutions and actors play a central role in guaranteeing non-discrimination, equality before the law, access to justice, the right to a fair trial, and respect for other human rights

INL works to build capacity within police organizations in partner nations to **prevent crime, maintain public order, and resolve community problems in a manner that respects human rights.**


As you adjust to the international environment and work, you may experience culture shock. Initially compartmentalizing your experience may help build and expand your understanding. You will witness ethical and unethical behaviors; you may also struggle with where your decisions and actions fall. You will work with people with different ethical codes. Consider defining what your ethics are before deployment so you can immediately rely on them.

Human Rights in Action

This is your opportunity to dive deep into human rights as it relates to your assignment by researching your host country using the resources we referenced in this module (available in your tablet/guide). The following job aid provides examples of who is most at risk of abuse, the types of abuse normally committed, and some best practices in addressing these abuses. Questions? Just ask your facilitator.



Plan Your Teach Back

1. Begin by reviewing the **Country Reports on Human Rights Practices** at www.state.gov
2. Select **Policy Issues > Democracy & Human Rights > Reports > Most recent year/report**
NOTE: If you are on a mobile/tablet device, you will need to first click on the menu icon  to select your host country's region and then locate your host country from the list.
3. Review the country's report as well as the relevant resources/links in this module (some listed below)
4. Prepare to **facilitate** a learning session for your peers so that they are well informed on your country's human rights conditions. Include the following critical points (be as specific as possible):

Host Country	
What types of abuse exist?	
Who are the at-risk populations?	
Why are these particular populations at risk?	
What steps do you think need to be taken to combat the abuse?	
What role do you think you could have in helping fight against abuse?	
What resources could you use?	

Available Tools/Resources

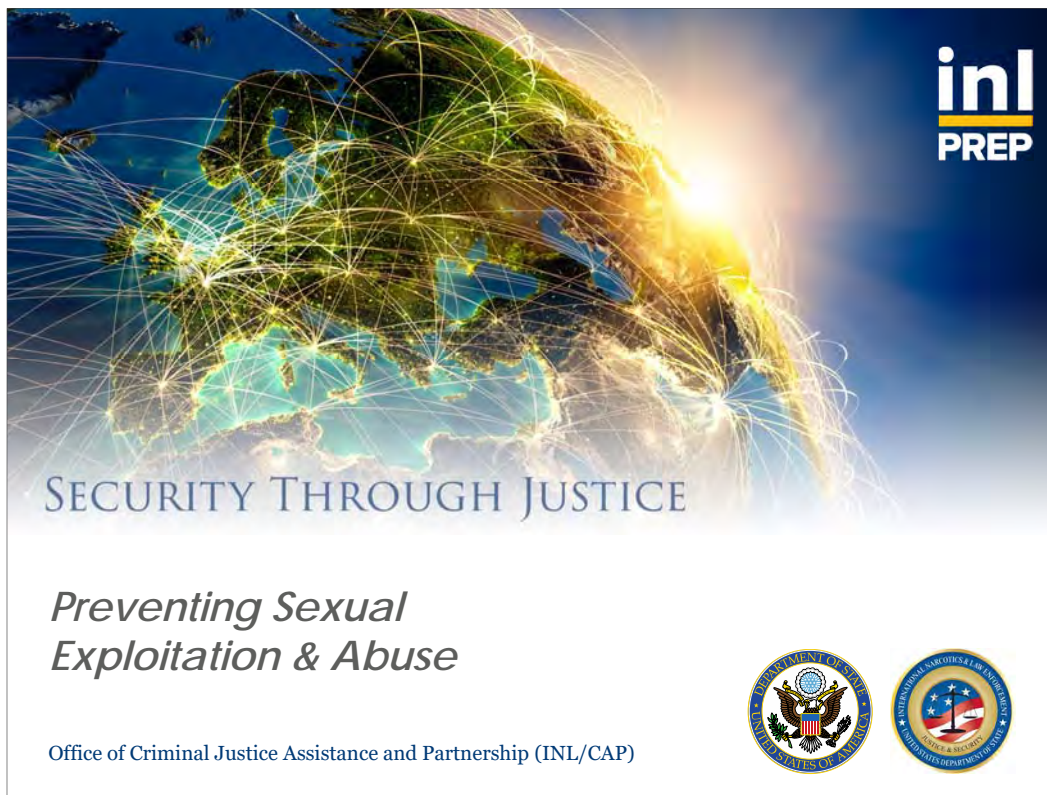
- U.S. Embassy: www.usembassy.gov
- Human Rights Reports: www.state.gov/j/drl/reports
- TIP Report: www.state.gov/j/tip/rls/tiprpt/
- INL Guides and other major publications: www.state.gov/j/inl/publications
- World Justice Project: www.worldjusticeproject.org
- Transparency International: www.transparency.org
- World Press Freedom Index: www.rsf.org/en/ranking

Other Resources/Organizations

- Other advisors (with prior mission experience)
- United Nations: www.un.org
- OHCHR–UN Human Rights: www.ohchr.org
- UNHCR–UN Refugee Agency: www.unhcr.org
- UN Development Program: www.undp.org
- World Health Organization: www.who.int
- Amnesty International: www.amnesty.org

Population at risk	Types of abuses that may be inflicted	Addressing or preventing the abuses
<p>Children</p>	<ul style="list-style-type: none"> • Denied education • Recruited into armed forces • Suffer targeted attacks • Exploited and abused sexually • Trafficked for labor and sex • Languish in institutions or detention centers • Millions of children around the world are trapped in child labor, depriving them of their childhood, health, and education and condemning them to a life of poverty and want 	<ul style="list-style-type: none"> • Launch awareness-raising campaigns and develop national action plans for juveniles at risk • Promote compulsory free primary education • Training programs for law enforcement to increase awareness of trafficking and improve support for child trafficking victims • Strengthen penalties for crimes against children
<p>Persons with Disabilities Over 650 million people worldwide live with disabilities</p>	<ul style="list-style-type: none"> • Have little hope of going to school • Live on margins of society • Make up the world’s largest and most disadvantaged minority • About 1/3 of the world’s street children live with disabilities • Mental illnesses also a consideration 	<ul style="list-style-type: none"> • Form peer support groups • Develop awareness-raising and sensitization among all stakeholders on the rights of children with disabilities, with a focus on the right to education • Involve persons with disabilities in the decision-making process in projects/programs and policies
<p>Indigenous Peoples Although 5% of the world’s population, indigenous peoples account for 15% of the world’s poorest people</p>	<ul style="list-style-type: none"> • Denied control over their own development based on their own values, needs, and priorities • Politically under-represented • Lack access to social and other services • Victims of forced displacement 	<hr/> <hr/> <hr/>
<p>Migrants</p>	<ul style="list-style-type: none"> • Discriminated against in housing, education, health, work or social security • Detained routinely and without proper judicial safeguards • Denied access to healthcare, adequate food, sanitation, or safe drinking water and separate sanitation facilities for men and women while in overcrowded immigration detention centers 	<hr/> <hr/> <hr/>
<p>Minorities</p>	<ul style="list-style-type: none"> • Politically under-represented • Lack of access to services • Marginalized/excluded • Subject to internal displacement • Discriminated against in regards to culture, religion, and language 	<hr/> <hr/> <hr/>
<p>Men</p>	<ul style="list-style-type: none"> • Killed, based on ethnicity • Forced into slave labor • Victims of rape as a weapon of war • Victims of trafficking • Arbitrary and lengthy pretrial detention • Political prisoners 	<hr/> <hr/> <hr/>

Population at risk	Types of abuses that may be inflicted	Addressing or preventing the abuses
<p>Women Majority of the world's poorest people; work two-thirds of world's working hours, yet earn only 10% of the world's income</p>	<ul style="list-style-type: none"> • Violence/exploitation • Trafficking • Lack of equal access to health, education, and employment • In some countries, cannot own or inherit property • Lack of access to justice 	<ul style="list-style-type: none"> • Police working with human rights defenders to pursue accountability through the formal justice system in cases of sexual and gender-based violence (SGBV) • Promote gender-sensitive judiciary to remove gender bias within courts
<p>Refugees Approximately 15 million worldwide and rising; only approximately 80,000 are resettled each year</p>	<ul style="list-style-type: none"> • Discriminated against in housing, education, health, work or social security • Detained routinely and without proper judicial safeguards • Denied access to healthcare, adequate food, sanitation, or safe drinking water • Effectively stateless, outside of normal legal protections 	<ul style="list-style-type: none"> • Work with local police to conduct community outreach to groups affected by or vulnerable to hate crime • Law enforcement and official human rights agencies should monitor and report on hate crimes • Strengthen law enforcement personnel responsible for hate crime investigations and prosecutions
<p>Internally displaced person Approximately 27 million and rising due to extended conflicts</p>	<ul style="list-style-type: none"> • IDPs face all of the abuses in this table <hr/> <hr/>	<ul style="list-style-type: none"> • Rights-awareness training for refugees • Standardized form for reporting incidents of abuse • Ref: UNHCR's guidelines in <i>Sexual and Gender-Based Violence against Refugees, Returnees and Internally Displaced Persons – Guidelines for Prevention and Response</i>
<p>People living in extreme poverty More than 2.2 billion people—15% world's population—face multidimensional poverty (health, schooling, living conditions)</p>	<ul style="list-style-type: none"> • Lack of access to sanitary living conditions • Little to no educational attainment/access • Poor/non-existent housing • Poor/non-existent medical care • Often excluded from redress through the justice system 	<ul style="list-style-type: none"> • Promote compulsory free education • Encourage public health outreach • Encourage vocational training efforts • Ensure representation in national census counts • Build capacity in civil infrastructure (drinking water, sewer, electricity)
<p>LGBTI persons</p>	<ul style="list-style-type: none"> • Discrimination in employment/education/social services • Physical violence • Subject to criminal prosecution for relationships or outward appearance 	<ul style="list-style-type: none"> • Develop training programs for police, prison staff, teachers, social workers and other personnel <hr/>
<p>Journalists</p>	<ul style="list-style-type: none"> • Subjected to killings, torture, attacks and harassments • Targeted to be silenced 	<hr/>
<p>Prisoners More than 10.35 million people across the world are incarcerated (<i>Institute For Criminal Policy Research</i>)</p>	<ul style="list-style-type: none"> • Torture and excessive use of force • Lack of due process • Sexual assault, sexual exploitation, and retaliatory actions • Open-ended, arbitrary sentences • Remand prisoners often have no trial date assigned 	<ul style="list-style-type: none"> • Reformed prison procedures • Expedited processing of cases • Human rights training of prison personnel and prisoners themselves <hr/>



Preventing Sexual Exploitation & Abuse (SEA)

This module provides you with an overview of sexual exploitation and abuse in international peacekeeping and capacity building environments.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Identify the problem and consequences of SEA
- Outline the core principles for preventing SEA
- Identify steps to take when SEA is suspected

Topics

- Consequences of SEA
- Recognizing exploitation and abuse
- Core principles for preventing SEA
- Reporting violations

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 1 hour

Preventing Sexual Exploitation & Abuse

The Problem

Peacekeepers and international aid workers have been associated with sexual exploitation and abuse of the vulnerable populations they are mandated to protect

The Consequences

- Represents catastrophic failure of protection and violates human rights
- Ultimate betrayal to vulnerable populations
- Disrupts families and communities
- Jeopardizes our capacity building efforts as a whole




Peacekeeping and international development work is powerful in a country that has been ravaged by violence, poverty, corruption, and multiple other crises. They provide a service that many—especially the vulnerable—need, whether that service is advising their counterparts on rule-of-law or providing other forms of safety, security, and well-being. In some cases, it is protecting the vulnerable from sexual abuse and exploitation in a war- or poverty-ravaged country.

Most people drawn to peacekeeping do it for the good of humanity. They make a difference in the lives of those in need by strengthening the rule of law, discouraging corruption, and protecting the population, including the groups that are particularly vulnerable to human rights violations. They understand the responsibility they have to abide by the law, respect human rights, and set an example for society.

But a small portion of these peacekeepers have sexually exploited and abused the very people they came to protect, bringing shame on themselves and—by extension—to the international community as a whole.

Ongoing allegations highlighted both the vulnerability of such populations and the shortcomings of existing mechanisms to prevent such abuses from occurring.

Preventing Sexual Exploitation & Abuse



What you can do to help

- Participate in this awareness raising session on preventing sexual exploitation and abuse
- Know the rules
- Uphold the standards

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The purpose of this session is not to place restrictions on our lives or prevent sexual relationships, but to prevent exploitive or abusive sexual relationships. It is our mandate to protect and assist the most vulnerable and respect human dignity. This training sets out some specific standards on how to avoid harming those whom we have committed to protecting.

Knowing the rules and undergoing training helps advisors and others know their own responsibilities and the responsibilities of others. It also helps them quickly recognize and report when others — whether from their own organization or country or other countries — are exploiting or abusing those they have promised to protect.

Training is believed to be one effective prevention measure to sexual exploitation and abuse and improved training (in quality and quantity).

It is expected that all organizations — including the U.S. Department of State — provide that same training to their personnel before departing for an assignment.

For more information, see: www.pseataskforce.org

Preventing Sexual Exploitation & Abuse

Core Principles on Preventing Sexual Exploitation and Abuse

1 Zero tolerance

4 Relationships discouraged

2 Nothing exchanged for sex

5 Mandatory reporting

3 No sexual activity with children

6 Preventative environments

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In 2003, the UN Secretary-General released a bulletin on *Special Measures for Protection from Sexual Exploitation and Sexual Abuse*. It outlines guidance on SEA, establishing the mandate for preventing SEA and protecting the vulnerable. Its six core principles set the minimum standard of behavior:

1. **Zero tolerance:** SEA constitutes acts of serious misconduct and is grounds for termination of contract.
2. **Nothing exchanged for sex:** Exchange of money, employment, goods, or services for sex is prohibited, including sexual favors or other forms of humiliating, degrading, or exploitative behavior.
3. **No sexual activity with children:** Sexual activity with children (anyone under the age of 18) is prohibited regardless of the local age of consent. Mistaken belief in the age of the child is not a valid defense nor is it relevant whether the child gives consent.
4. **Relationships discouraged:** Consensual sexual relationships between staff and beneficiaries are strongly discouraged since they are based on unequal power dynamics.
5. **Mandatory reporting:** All staff are required to report any concerns, suspicions, or rumors of SEA.
6. **Preventative environments:** All staff must create and maintain an environment that prevents SEA.

Other Key Resources

The UN recommends these resources for a better understanding of SEA and strategies for its prevention:

- Task Force on Protection from Sexual Exploitation and Abuse (PSEA): www.pseataaskforce.org
- UN Conduct and Discipline Unit: <https://conduct.unmissions.org>

Example Scenarios of Misconduct in the Field

Read the scenarios below. Refer back to the core principles on SEA in the previous page to answer the questions listed below each scenario. Be prepared to discuss with the group.

Scenario A

Josie is a refugee woman in an IDP Camp. Pete and others in his international relief organization have been posted to guard the compound and ensure that stores are not looted; he has access to all the food stored there. Josie has become Pete’s friend and he has offered to give her a little extra during the distribution because of their close bond. They agree to start a sexual relationship and neither one thinks that anything is wrong with it. Josie hopes that the relationship will be a passport to a new life in another country, and Pete does nothing to discourage these hopes.

Y/N	Considerations (Yes/No responses)
	Has Pete abused or attempted to abuse a position of vulnerability for sexual purposes?
	Has Pete actually abused or attempted to abuse differential power for sexual purposes?
	Has Pete actually abused or attempted to abuse trust for sexual purposes?
	Does this scenario constitute prohibited acts?
	Which uniform standards on preventing SEA have been violated? (List as many as apply.)

Scenario B

Carlos, a contractor for USAID, is engaged in a community project in the Southern Sector and has helped set up a boys’ soccer club in the town. Carlos enjoys the soccer games, but he particularly enjoys the access the club gives him to local adolescents. After the games, he shares the locker room with the boys. He has begun to give presents (magazines, candy, sodas, pens) to a number of boys in exchange for sex. He finds nothing wrong with this because he is helping the boys and believes both parties benefit from the arrangement.

	Has Carlos abused or attempted to abuse a position of vulnerability for sexual purposes?
	Has Carlos actually abused or attempted to abuse differential power for sexual purposes?
	Has Carlos actually abused or attempted to abuse trust for sexual purposes?
	Does this scenario constitute prohibited acts?
	Which uniform standards on preventing SEA have been violated? (List as many as apply.)

Scenario C

Darlene is a member of an international anti-corruption organization in a local town. She supports her family back home and is always looking for good business opportunities. John, another member of the organization, asked her to contribute toward renovating a bar in the town. In return, Darlene gets a cut of the bar’s profits. Darlene soon begins getting a steady income from the bar, so she contributes more money to hire more staff. She doesn’t go to the bar but is aware that other members of her organization do. She also knows that prostitutes work there but doesn’t think that concerns her because she isn’t directly involved in those issues.

	Has Darlene abused or attempted to abuse a position of vulnerability for sexual purposes?
	Has Darlene actually abused or attempted to abuse differential power for sexual purposes?
	Has Darlene actually abused or attempted to abuse trust for sexual purposes?
	Does this scenario constitute prohibited acts?
	Which uniform standards on preventing SEA have been violated? (List as many as apply.)

Scenario D

Mike is a contractor for the State Department. He has developed a close relationship with Amanna, his landlady, who also does his cleaning. They eat meals together and he helps Amanna with her English. Amanna’s husband and young children were killed in the violence that engulfed the country five years ago, so she is lonely and enjoys the opportunity to talk. One night, he presses Amanna to come to his bedroom, urging her to have sex with him. Amanna tries to leave the room. Mike changes tactics and tells her he will have to think of leaving her house and finding a new home if she won’t have sex with him. Amanna reluctantly agrees.

	Has Mike abused or attempted to abuse a position of vulnerability for sexual purposes?
	Has Mike actually abused or attempted to abuse differential power for sexual purposes?
	Has Mike actually abused or attempted to abuse trust for sexual purposes?
	Does this scenario constitute prohibited acts?
	Which uniform standards on preventing SEA have been violated? (List as many as apply.)

Preventing Sexual Exploitation & Abuse

What if the perpetrators of SEA are your colleagues or predecessor?

REGROUP

What impact does this have?

- Human rights
- INL's goals and the work you need to accomplish
- The future of your host country

Serious consequences for violators

- Disciplinary action
- Repatriation or termination of contract
- Criminal proceedings or financial liability
- Prosecution by national authorities



As advisors working amongst vulnerable populations, we are almost always in positions of power or trust compared to those we are there to assist. It is this position that creates the potential for abuse and requires our judgment and vigilance. Even if someone is not directly involved in the sexual act (or the attempted sexual act) but profits from it, then his/her conduct also constitutes sexual exploitation.

Haiti

- **The good:** INL supports 50 U.S. police officers and 5 U.S. corrections officers in the UN Stabilization Mission in Haiti to train and advise the Haitian National Police and corrections officers.
- **The bad:** International development workers have been sexually abusing women and minors in Haiti who have been in need of basic food and medical supplies.

Liberia

- **The good:** INL's contribution to UNMIL's UN Police contingent includes the Senior Advisor Team, which comprises up to eight senior level officers and U.S. rule of law advisors that strengthen linkages between the LNP and other Liberian criminal justice professionals, including prosecutors.
- **The bad:** A new report by the UN Office of Internal Oversight Services said aid workers in Liberia bought sex with money, jewelry, cell phones, televisions, and other items.

Preventing Sexual Exploitation & Abuse



Reporting Violations

Reporting is a required and protected action



Report any concern



Keep it confidential



Refer survivors

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Reporting observations that could constitute misconduct is everyone's duty. Using your organization's internal reporting procedures, you are required to report any concerns or suspicions, including rumors, regarding SEA by a fellow worker. All reports should be made confidentially, involving as few people as possible.

Information to report:

- Who is making the allegation
- What is the incident
- When (date and time)
- Where (country, area, community)

If someone reports to you

Listen carefully and respectfully, without any judgment or prejudice. Reassure the person that he or she has done the right thing by reporting. Be sure to record the information in their own words and confidentially report it without conducting any further investigation yourself.

The complainant/survivor should be referred for assistance according to the victim assistance mechanism in the setting. A survivor of rape or sexual assault should be referred to a health facility as soon as possible.

Reasons for underreporting

The underreporting of SEA is a challenge for the international community. For the most vulnerable populations, one or more factors may deter them from speaking out, such as:

- Fear of losing much-needed material assistance
- Fear of stigmatization
- Fear of retribution or retaliation
- Fear they won't be believed
- Lack of knowledge on how to report
- Lack of faith in legal services available

To stop SEA from occurring, we must hold the perpetrators accountable and help the survivors. Addressing the culture of complacency and the culture of impunity requires the effort of all of us.

If you are unsure of your reporting options, you can seek information from the ECHA/ECPS Task Force by emailing them directly at seatf@un.org.

Preventing Sexual Exploitation & Abuse

Reporting Mechanisms

Third Party Contractors

Contact your employer or follow their SOP, and report it to your onsite supervisor

Personal Service Contractors (PSCs)

Report it to your onsite supervisor who will bring it to the attention of INL/RM/GAPP
(Grants, Acquisitions, and Procurement Policy)

UN Personnel

Contact the Conduct and Discipline Unit (CDU)
Each mission has its own unit
UN-wide unit | Email: cdt-misconduct@un.org
24-hour hotline: +1-917-423-5256

Hotline

Report it to the Office of Inspector General
Online: oig.state.gov/hotline
By phone: 800-409-9926 or +1-202-647-3320

U.S. Department of State (OIG) Hotline

Online form at: <https://oig.state.gov/hotline>

By phone at 800-409-9926 or 202-647-3320

What does zero-tolerance mean?

Zero-tolerance means that the culture of impunity and complacency toward SEA is no longer tolerated and that active measures are being introduced to prevent SEA and appropriate disciplinary action will be taken against all persons who are found to have violated the standards of conduct.

When am I obliged to report SEA?

Always. You are obliged to report concerns or suspicions regarding sexual exploitation or abuse to your senior manager or your organization. It is for the appropriate authorities, and not the individual, to investigate and confirm those concerns or suspicions.

What if I submit a report on someone accused of SEA and it turns out to be false?

All staff are required to report their concerns and suspicions regarding sexual exploitation and abuse. All reports should be made in good faith. If you have made a report in good faith which turns out to be false, you will not face repercussions. If you submitted an allegation with knowledge of its falsity, you will be subject to disciplinary consequences.

Why is the relationship between development workers and the host country population discouraged?

Sexual relationships between international staff and beneficiaries of assistance are strongly discouraged because they are likely to be based on inherently unequal power dynamics. International staff are expected to uphold the highest standards of conduct. Even the perception of sexual exploitation and abuse can result in damage to the credibility of the individual and the organization.


For a complete list of frequently asked questions: www.pseataforce.org/en/faq

inl
PREP

SECURITY THROUGH JUSTICE

Promoting Gender Perspectives

Office of Criminal Justice Assistance and Partnership (INL/CAP)

Promoting Gender Perspectives

This module ensures that you have a common understanding of the values and promotion of gender equality including the integration of women within the criminal justice system.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Understand the different roles and needs of both women and men in the host nation’s criminal justice system
- Identify challenges in accessing criminal justice services
- Explain the importance of including women within the criminal justice system

Topics

- Gender inequality in context
- Equal access to justice
- Promoting inclusion

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 2 hours

Promoting Gender Perspectives

Historically and globally, women are:

- **Under-represented** as **actors** in the criminal justice system, but...
- **Over-represented** as **survivors** and **victims** of sexual and gender-based violence



Historically, and globally, women are underrepresented as actors in the criminal justice system but over-represented as victims/survivors of gender-based crimes, such as violence, discrimination, and harassment.

Some additional facts to consider:

- Women constitute more than half the world’s population but earn one-tenth of the world’s average income.
- Women constitute two-thirds of the illiterate adults in the world, and this fact has remained unchanged for the past two decades.
- On average, women represent under one-fifth of the lawmakers in parliaments around the world.
- One in three women will suffer from sexual and gender-based violence during her lifetime.

In the following section, we will outline a number of guiding questions and answers that will help illustrate the impact of conflict on women and men.

Promoting Gender Perspectives

The impact of conflict on men and women

- What might be harder for women/girls and men/boys during a conflict?
- How might their roles change during the conflict?



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Conflict can worsen gender-related disparities, impact socially determined roles and responsibilities, and limit an individual's access to resources. Since conflict generally affects men, women, boys, and girls differently, it is important to identify and understand the realities faced by members of a community, including any gender biases that may promote discrimination, limit access to justice, or prevent an individual's full participation in the criminal justice system.

While there are exceptions, evidence from conflicts worldwide supports that the roles for women and girls and men and boys are often affected in the following ways:

- **Women and girls:** *During conflict, it may be harder for women and girls to get food, fuel, and water safely. They may have more people to care for, as they may be taking responsibility not only for their immediate family but also for extended family members.*
- **Men and boys:** *A conflict may force men and boys to separate from their families, take up arms and become involved in the conflict. Conflicts can also make it harder for men to support their families.*

Taking into account how conflict affects men, women, boys, and girls differently during your work as an advisor will help you to effectively promote equal access within the criminal justice system.

Promoting Gender Perspectives

What can we do as advisors to promote inclusion in the criminal justice system?

- Consult women and men about the status of their community, their needs, and their perspective on threats and its impact
- Encourage participation of women and men in working groups and in training, include their views in official reports
- Increase participation of women at every level
- Advance women’s representation through professional opportunities

REGROUP



As mentioned in the beginning of this module, women are historically and globally underrepresented as actors in the criminal justice system but over represented as survivors and victims of SGBV, which is why a focus on women is necessary. Inclusion involves seeking out the views and participation of a wide variety of stakeholders in the criminal justice system, not just as beneficiaries, but as actors too.

A fair, effective, and representative criminal justice system is one that respects the fundamental rights of all women and men. It is gender responsive and works to identify and address gender biases that have permeated the system to prevent gender-based crimes, to protect and assist survivors and witnesses, and to encourage women’s active participation at all levels of the criminal justice system.

Key Question to Ask

- Are qualified women represented and/or do they participate in positions of leadership within the judiciary, prosecutorial service, and other aspects of the legal profession?
- Are there mechanisms addressing discrimination against women and girls?
- Are qualified women represented and/or do they participate in positions of leadership within the police, judiciary, prosecutorial service, and other aspects of the legal profession?

Promoting Gender Perspectives

Access to justice

- What does access to justice mean?
 - For the community in general?
 - For survivors of SGBV?
- What are some common barriers to accessing justice?
- **Tool:** INL Guide to Gender in the Criminal Justice System

REFRESH



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Access to justice for women can be impeded for many reasons, including:

- Lack of knowledge about legal rights
- Lack of enforcement
- Lack of financial resources to pay court fees or transportation costs
- Fear of testifying, particularly in cases of SGBV
- Corrupt judicial and discriminatory practices
- Lack of child care
- Language barrier
- Social norms

INL Guide to Gender in the Criminal Justice System

This INL guide offers technical guidance associated with promoting the effective participation of women in the criminal justice system and improving capacity within the criminal justice system to promote and safeguard the rights of women in partner countries.

Available Tools

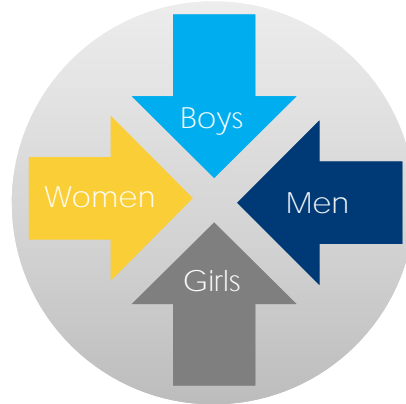
- INL Guide to Gender in the Criminal Justice System: www.state.gov/documents/organization/222034.pdf

Source: *Gender and SSR Toolkit: Justice Reform and Gender*, DCAF (2008)

Promoting Gender Perspectives

Why integrate gender perspectives?

- To increase operational effectiveness
- To increase access to justice
- To comply with the law



Your counterparts may inquire why they should prioritize the integration of gender perspectives. Responses might include:

- **To increase operational effectiveness:** Research has shown that women officers rely more on communication than on physical force, are more likely to de-escalate potentially violent situations, and are less likely to use deadly and excessive force. (*Hiring and Retaining More Women: the Advantages to Law Enforcement Agencies, National Center for Women & Policing* [2003]) For example, it can be beneficial for women to conduct interviews and searches.
- **To increase access to justice:** In certain instances, survivors may feel more comfortable reporting crimes to women officers. The integration of women increases access to justice for survivors who might otherwise not enter the criminal justice system.
- **To comply with the law:** Integrating women may be required under international law or domestic constitutions, statutes, and national action plans.

Promoting the participation of both genders as professionals across the criminal justice system results in a more representative criminal justice system, one more likely to respond effectively to the needs of the community it serves. Increasing access to justice for women and girls—and otherwise safeguarding their rights—increases a community’s trust in the system.



Navigating Legal Systems

This module provides you with an introduction to major legal traditions and systems and how they may impact your work in the field.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Discuss the importance of rule of law
- Identify the major legal traditions of the world and characteristics of each
- Explore attributes of your host nation’s legal framework and potential considerations in the field

Topics

- Rule of law
- Legal traditions and systems
- Addressing issues as an advisor

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Navigating Legal Systems

What does rule of law mean to you?

UN definition:
a principle of governance in which all persons, institutions and entities—public and private, including the State itself—are accountable to laws



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Building capacity for rule of law expands beyond writing legislation and benefits from INL’s whole system approach to the criminal justice system, including the work of police and corrections.

While there are many ways to describe rule of law, INL refers to the definition established by the United Nations:

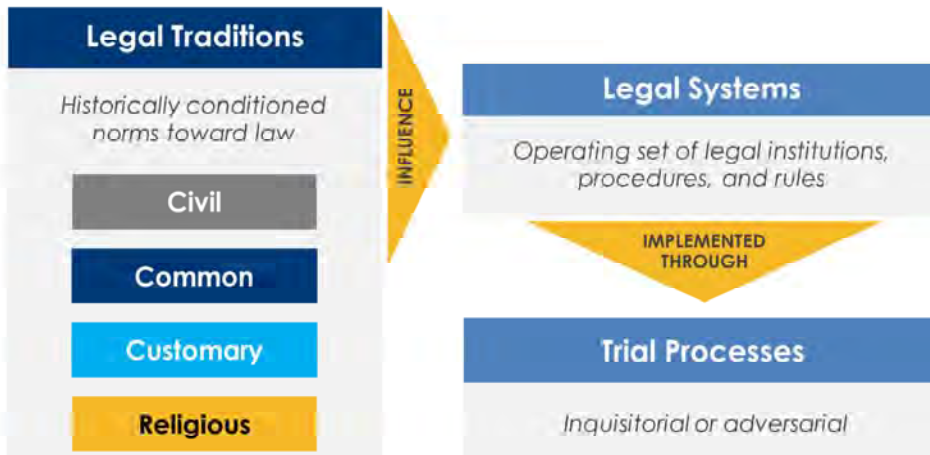
“[Rule of law is] a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards.

It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.”

– Report of the Secretary-General (S/2004/616)

Navigating Legal Systems

A legal framework consists of...



A **legal tradition** is a set of deeply rooted, historically conditioned norms applied towards the resolution of disputes. These norms determine how laws are derived, organized, prioritized, refined, applied, and taught.

There are four main legal traditions that may influence a country's individual legal system:

- **Civil law** is based on a body of law organized into systematic written codes
- **Common law** is based on custom and binding judicial precedents rather than statutes
- **Customary law** is based on a community's values and norms and relies on mediation by a third party
- **Religious law** is often based on ethical and moral codes taught by religious traditions and stemming from sacred texts

A **legal system** is the operating set of legal institutions, procedures, and rules within a specific country. Legal systems are influenced by one or more legal traditions and are impacted by many factors such as a region's history, politics, and culture. Most legal systems are **hybrid systems**, or mixed legal systems, that are composed of any combination of the four types of legal traditions.

Legal systems are implemented through **trial processes**, which are either inquisitorial or adversarial in nature (or a combination of both).

Legal Traditions Summaries

A brief summary for each legal tradition is included below.

CIVIL LAW

The majority of countries follow the civil law tradition. A main characteristic of the civil law system is that written codes serve as the primary source of legal authority. These codes are comprehensive in an attempt to cover all legal issues that might arise.

Some civil law systems follow an inquisitorial trial process, whereby the main activities take place during the investigative stage and the judge plays an active role in questioning witnesses and defendants during the trial. However, a number of civil law countries are moving toward an adversarial trial process.



Key characteristics of an inquisitorial process are:

- The prosecutor and judge both hold most of the power; the defense attorney's role is very limited
- Investigation is conducted by an examining magistrate who acts as an inquisitor directing fact-gathering, questioning witnesses, interrogating the suspect, and collecting evidence
- A trial is merely the public finale of the ongoing investigations where the accused is presumptively guilty until proven innocent
- Trials rely on written materials/files rather than oral arguments
- Legal opinions in civil law countries are usually very short and formal in nature

The court system is less integrated than under the common law tradition and includes:

- Specialized courts that handle constitutional, administrative, commercial, and criminal law issues
- First instance courts, courts of appeals, and a high (supreme) court

COMMON LAW

In a common law system, the main hallmark of the system is the doctrine of *stare decisis*, which means the legal principles enunciated and embodied in judicial decisions is binding precedent and must be followed.

Given the fundamental importance of case decisions in common law systems, court opinions are typically longer than in the civil law tradition and should set forth the reasoning behind the decision.

In common law systems, the trial process tends to be adversarial in nature whereby the defense attorneys and prosecutors play an active role in the trial and the judge serves as a neutral arbiter.

Key characteristics of an adversarial process are:

- Judge is neutral and does not participate in investigations. A judge's role includes setting binding precedent, interpreting statutes, and refereeing between the prosecutor and defense attorney
- Power between the prosecutor and defense attorney is balanced
- Plea bargains are possible

- Defense attorneys can interview witnesses and victims during the investigative process
- Public defender services need to be sufficiently resourced to defend the accused
- Oral presentation of evidence and legal arguments lies with opposing parties, not with the judge
- The accused is presumed innocent and has a right to a jury trial in criminal cases

The court structure is a unified system and includes:

- Trial courts, courts of appeals, and a supreme court
- General jurisdiction courts that may handle cases involving criminal, constitutional, civil, administrative, and commercial law
- Specialized courts such as family courts or drug courts are also part of the common law tradition

Examples: U.S., Canada, Liberia, Australia, New Zealand, United Kingdom

Legal Traditions Summaries (continued)

CUSTOMARY LAW

To solve a dispute or regulate an individual's conduct, customary law tradition utilizes written and unwritten rules deeply rooted in the societal, cultural, and spiritual contexts and values of the community. The primary emphasis in customary law tradition is reconciliation and restoring social harmony.

"Customary law itself is not simply a set of rules and sanctions, but a contextually defined process, involving flexibility, negotiation, and reinterpretation of a dynamic body of knowledge to reflect what is considered reasonable under the circumstances. Due to historical influences, it is often conducted with reference to rules, but the application of such rules is inherently contestable."

-- *Local Justice in Southern Sudan (2005)*

Procedures include consultation, mediation and reconciliation to resolve disputes involving land and property, access to public services, use of natural resources, family issues, and sometimes severe criminal matters.

In many countries, systems based on customary law coexist with the formal, state justice system and their trial processes may include:

- Informal gatherings of village elders
- Semi-formal community councils
- Quasi-judicial proceedings and tribunals

Actors are community-based and include:

- Local arbitrator(s), such as community leaders or elders
- Victim or victim's family
- Community members

Examples: Afghanistan, Liberia, Mexico, South Sudan



RELIGIOUS LAW

Religious law tradition relies on ethical and moral codes taught by religious traditions and stemming from sacred texts. This tradition focuses on the relationship between individual(s) and God.

There are many legal systems based on religious law, such as:

- Sharia – Islamic Law
- Halakha – Jewish Law
- Canon Law – Roman Catholic (Christian) Law
- Dharma – Hindu Law

Islamic Law

Islamic, or Sharia, law is the most common religious law tradition today. Sharia law is derived from two sacred texts:

- Quran: a religious text but does outline principles of justice and equality
- Sunna: provides additional explanation of binding legal norms

The sacred texts are complemented by other writings, opinions, and decisions.

The main justice actors in Sharia law are:

- Qadi: A judge responsible for determining guilt or innocence
- Mufti: A legal expert who is empowered to give rulings on religious matters

The Sharia court structure varies. For example, some countries have mixed jurisdictional courts based on common or civil law legal traditions and supplemented with Sharia law.

Trial procedures vary greatly from the other legal traditions.

- The qadi determines guilt or innocence
- Parties represent themselves without lawyers
- Verdicts are not binding precedents
- Rules of evidence prioritize oral testimony over forensic evidence



Examples of Islamic Law: Afghanistan, Nigeria, Sudan, Indonesia, Lebanon, Iran, Pakistan, UAE, Maldives, Syria, Libya, Saudi Arabia, Yemen, Egypt, Jordan

Navigating Legal Systems

Legal systems are...

Rooted in local dynamics

Based on legal tradition(s)

Country-specific

Complex

A legal system is country-specific. Every host nation has a unique legal system that interprets and enforces that nation’s laws. Legal systems usually are not a single set of laws and courts.

A legal system is complex. Consider the complexity of the legal systems in the U.S. Within the federal and state court systems there are trial courts and appellate courts. The federal court system is divided into 13 circuits with one circuit handling patent and claims court cases. Then, there are civil as well as criminal cases each with their own procedures. Tribal law is another legal system in the U.S. While this is an incomplete outline of U.S. legal systems, it illustrates complexities advisors can expect to face in the field.

A legal system is rooted in local dynamics. It is important to understand the historical, legal, cultural, and religious forces in a given country because they affect and form a country’s laws. Knowing these forces will help you understand local laws, especially as they relate to arrest, detention, search, seizure, and individual rights.

A country’s legal system is often a result of colonial influences or other factors such as being controlled by an authoritarian regime. For example, if a country was colonized by the British (who originated the common law system), that country today tends to have a common law legal tradition (e.g., U.S., Canada, Australia, New Zealand). If an area was colonized by another European Power (e.g., Spain, France), that

country tends to have a civil law legal tradition (e.g., South American countries). On the other hand, the legal systems of many Eastern European countries were impacted by the Soviet Union’s authoritarian control.

Navigating Legal Systems

Trial Processes



Inquisitorial



Adversarial



Mixed or Other



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Legal systems are implemented through trial processes and are primarily inquisitorial or adversarial in nature although some may be mixed. Other trial processes commonly used may include:

- Informal gatherings of village elders
- Semi-formal community councils
- Quasi-judicial proceedings and tribunals

Inquisitorial	Adversarial
Strong investigative judge	No investigative judge
No case law precedent	Case law precedent
Traditionally no plea bargaining nor cooperative witnesses	Plea bargaining and effective use of cooperating witnesses
Prosecutor passive during trial	Prosecutor active during trial
No jury trials	Jury trials (a right in criminal cases)
Only defense attorneys members of the bar	All licensed attorneys are members of the bar (must be licensed to practice)
Appeals on acquittals permitted	No appeals on acquittals (Double Jeopardy)
Court-appointed experts	Litigants pay for experts
Summary of court proceedings	Verbatim transcripts

Addressing Issues as an Advisor

Refer to the questions below and research criminal justice issues in your host country that could affect your sector of work (corrections, law enforcement, justice, etc.). Then, prepare a summary of the challenges you have identified in your host country's legal system.

For your summary, focus on identifying potential systemic issues or topics that you might help address while deployed and get a sense for the various institutions you might interact with while in country to gather and validate information.

1	<p>What are some of the major criminal justice challenges your host country experiences in your sector?</p> <p><i>Please list no more than 3-4 key issues.</i></p>
2	<p>How are these affected by the country's legal traditions, history, and legal system(s)?</p>
3	<p>To what sources might you look to verify and/or better understand the scope and nature of these challenges?</p>
4	<p>What issues would you flag for your counterparts, e.g. crime scene problems, issues with pre-trial detention, right of access to counsel, etc.?</p>
5	<p>With whom will you consult as you begin to formulate ideas for how to address these challenges? To whom will you ultimately make your recommendations?</p>



Facilitating Learning

This module provides you with a refresher on ways to facilitate an engaging, productive training experience for adult learners.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Identify the different ways adults learn
- Differentiate between facilitating and lecturing
- Plan a lesson using adult learning principles
- Identify strategies for creating and maintaining a positive learning environment

Topics

- Know your audience
- Your role as facilitator
- Setting the environment
- Facilitation in action

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours



Confidence Survey

Consider your level of confidence in being a facilitator in a training environment. Indicate your current confidence level without any further instruction or practice on the topics and skills below.

Score each statement between 1 and 5, with 1 representing low confidence and 5 representing high confidence. Your answers will be kept confidential and used only for self-assessment purposes.

Score	Statements
_____	1. Understanding the difference between facilitation and training
_____	2. Understanding adult-learner characteristics and learning styles
_____	3. Presenting information to participants
_____	4. Asking questions to encourage discussion
_____	5. Listening effectively to make participants feel acknowledged and understood
_____	6. Leading participants through a group exercise

How Do You Learn?

You and a partner will receive 7 playing cards and take turns trying to recall them in order. One person will go through all 3 exercises while the other handles the cards and tracks the number of correct recalls. Once a partner completes a set, switch roles and repeat the process.

Be sure to shuffle the cards after each exercise. For this activity, we will **ignore the suits**.

1. Say it

Draw each card in order and **tell** your partner the card's value. Be sure NOT to show them the cards. Wait 10 seconds before they recall the order of the cards.

2. Show it

Draw each card in order and **show** your partner the card. DON'T speak in this exercise. Wait 10 seconds before they recall the order of the cards.

3. Hand it

Draw each card in order and **hand** it to your partner. Wait 10 seconds before they recall the order of the cards.

	Say it	Show it	Hand it
Score			

Facilitating Learning

One style does not fit all

REGROUP

- Did you already know your style or were you surprised?
- Which was your dominant or preferred style? Secondary?



Hear it



See it



Do it



Think it

Knowing your audience allows you to tailor your training to their needs, interests, and learning styles.

Adult learners receive information in different ways:

- Hearing (Auditory)
- Seeing (Visual)
- Doing (Kinesthetic)
- Thinking (Reflective)

One of these channels is normally dominant. The dominant channel defines the best way the adult learner learns new information. But this channel may not always be the same for all situations. An adult learner may prefer one channel of learning for one task and another channel or a combination of channels for another task.

In training, information should be presented using all the channels so that all learners can get the most out of the training.

Regardless of the preferred channel, learning is enhanced when it is closely followed by the application of the material. Each repetition of material can be regarded as a rehearsal, and rehearsal is a key learning strategy for adults.

Facilitating Learning

Know Your Audience

- Adults learn effectively to:
 - Develop a new skill
 - Acquire new information
 - Improve professional competence
- Learn about their:
 - Attitudes/Personality
 - Culture
 - Experience
 - Education



SOURCE: Rogers, C. R. (1969). Freedom to learn: A view of what education might become. Knowles, M. S. (1968). Andragogy, not pedagogy. Adult Leadership, 16(10), 350-352, 386.

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Talking about adult learning brings us to the concept of *andragogy*. According to American practitioner and theorist of adult education, Malcolm Knowles, andragogy is “the art and science of helping adults learn.” Knowles identified the six principles of adult learning:

1. Adults are internally motivated and **self-directed**. The adult learner has a need to be responsible for his or her learning.
2. Adults bring **life experiences** and knowledge to learning experiences.
3. Adults are **goal-oriented** and are ready to learn when the need arises.
4. Adults are **relevancy-oriented** and want to know the relevance of what they are learning to what they need to achieve.
5. Adults are **practical** and are interested in life- or work-related situations. They want to see firsthand how their learning applies to real life.
6. Adult learners like to be **respected**. Respect can be demonstrated by adhering to the above principles—acknowledging the experiences, encouraging expressions of ideas, and taking interest in their learning.

As a facilitator, your job is to motivate adults to learn. You can awaken their motivation to learn; you cannot force it. Adults learn effectively when they want to:

- Develop a new skill
- Acquire new information
- Improve professional competence

Learn as much as you can about your audience. Knowing your audience allows you to:

- **Appreciate differences in skills and experience**—which will give you an indication of areas on which you will need to focus more attention/explanation
- **Draw on their strengths and expertise**—to avoid repeating information that is commonly understood among the participants
- **Identify the greatest common need**—allowing you to focus your efforts and avoid wasted time
- **Establish and maintain communication**—so that you will know when you’ve reached beyond the limits of participants’ understanding and so that participants feel confident in your mastery of the topic and interest in their learning outcomes

Facilitating Learning

Auditory

- Use word association
- Participate in group discussions
- Listen to lectures
- Enjoy podcasts/audio books
- Begin material with explanation
- Develop dialogue with learner
- Tell them what they will learn
- Include brainstorming activities
- Leave time for debrief

Visual

- Watch demos
- Draw
- Highlight words
- Write notes
- Look / Picture
- Illustrate
- Watch videos
- Use visuals
- Show diagrams / explain them
- Give written tasks
- Diagram a concept
- Provide handouts & illustrations

Kinesthetic

- scan material first
- learn the big picture
- hands-on
- doodle
- take notes
- role-play
- Provide hands-on opportunities
- Give frequent breaks
- Keep them moving

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Auditory (verbal) learners are those who generally learn best by listening. They typically like to learn through lectures and discussions. They remember best through hearing or saying things aloud and using word associations to remember facts.

To facilitate auditory learning:

- Begin new material with a brief explanation of what is coming
- Conclude with a summary of covered material
- Tell them what they are going to learn, teach them, and then review what they have learned
- Include aural activities, such as brainstorming and large- and small-group discussions

Visual learners are those who generally think in pictures. They often prefer to see things written down in a handout, text, or PowerPoint slide. They find maps, graphs, charts, video clips, and other visual learning tools to be extremely effective. They remember things best by seeing something.

To facilitate visual learning:

- Use graphs, charts, diagrams, and illustrations
- Include outlines, agendas, and handouts for reading and taking notes
- Include content in handouts or job aids
- Supplement textual information with illustrations

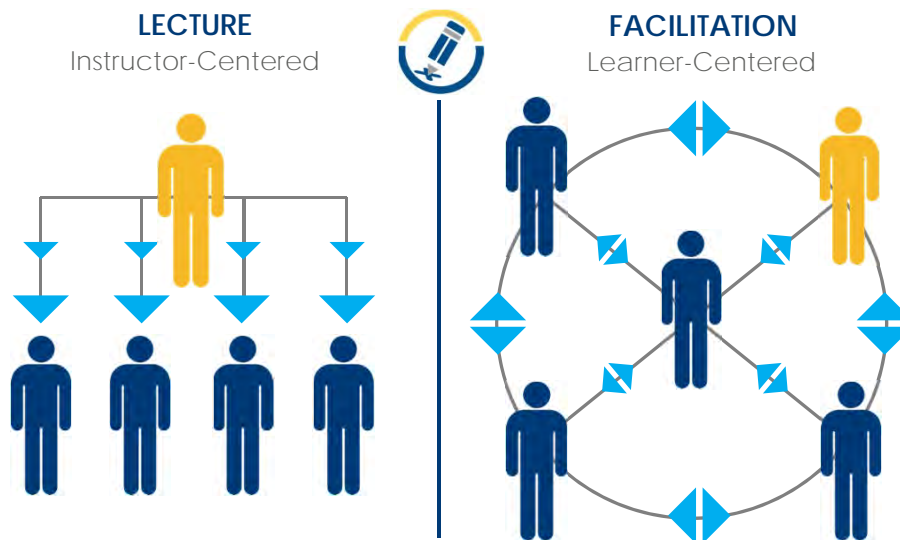
Kinesthetic (tactile) learners are those who learn best through touching, feeling, and experiencing that which they are trying to learn. They remember best by writing or physically manipulating the information. Those who learn best by movement lose their concentration easily. When reading, they like to scan the material first to get the big picture and then focus on the details. In addition, each associated physical activity—taking notes, highlighting, role-play, etc.—reinforces the retention of information.

To facilitate kinesthetic learning:

- Engage the learner by interspersing movement and physical activities into the training
- Have the learner write on flipcharts or a board
- Incorporate role-playing and practical exercises, when feasible
- Encourage learners to physically handle/mark-up materials (e.g., by providing highlighters)

Facilitating Learning

What is the difference here?



Lecture (instructor-centered): Traditionally, instructors are the ones with knowledge and expertise in a particular field. They impart that knowledge through a variety of means to their students.

- Minimal control by the learner
- Focus on memory
- Content supplied by teacher/course materials
- Based on specified content standards

Facilitation (learner-centered): Facilitators build on the knowledge base of the group of learners to find the answers to questions.

- Minimal control by the instructor
- Focus on thinking/doing
- Content supplied partially by students
- Increased retention of content

Facilitating Learning



What is a Facilitator?

- Does NOT lecture
- Leads the learning process
- Serves as a guide to help achieve consensus
- Helps people understand and achieve their objectives

Benefits of facilitation

- Knowledge retention
- Participant ownership
- Collaborative team focus
- Increased morale/engagement

Acts as:

- A discussion leader
- A problem-solver
- An observer and listener
- An enforcer of rules and time

Actions of an effective facilitator:

- Establish a collaborative relationship with participants in which he or she is "first among equals," but responsibility for learning rests with the whole group
- Help create and sustain an environment of trust and openness where everyone feels safe to speak honestly and where differences of opinion are respected
- Ensure that everyone feels included and has an opportunity to participate
- Have an overall program with goals but adapt them to fit changing conditions and opportunities
- Lead discussions by asking questions
- Guide participants through problems and challenges
- Observe and listen to participants working
- Bring participants back to the objectives of the lesson

Facilitating Learning

Present

Present and explore new material

Discuss

Question and challenge old and new ideas

Close

Summarize with key lessons and takeaways

Apply

Apply new material to a practical experience

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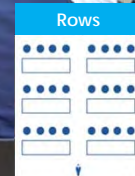
Instructional techniques for adult learners:

- Present:** Allows participants to become exposed to and explore large amounts of information at once. Examples include lecture supported by slides and demonstrations. This method allows new material to be presented and explored.
- Discuss:** Creates a forum for participants to share experiences and opinions, often resulting in participants gaining a new perspective of the material. Discussions encourage group brainstorming where participants learn ways in which new material can be applied to their requirements. This method works in small and large (within reason) groups.
- Apply:** Engages participants and allows them to apply the information they have learned in a practical, relevant way. Activities encourage group problem-solving and decision-making. Activities can take the form of role-play, practical exercises, and games/puzzles and allow participants to relate new information to their practical experience. Activities require advance planning for it to be successful.
- Close:** Summarize with key lessons and takeaways at the end of each module and a more comprehensive one at the end of the workshop. Explain how the objectives were met and prepare participants for what's next.

Facilitating Learning

Setting the environment

- Begins on the first day when participants feel welcome
- Develop trust among participants
- Ensure space is bright and comfortable with seating that supports learning
- Clearly state learning objectives
- Allow time for breaks
- Maintain a respectful and inclusive environment

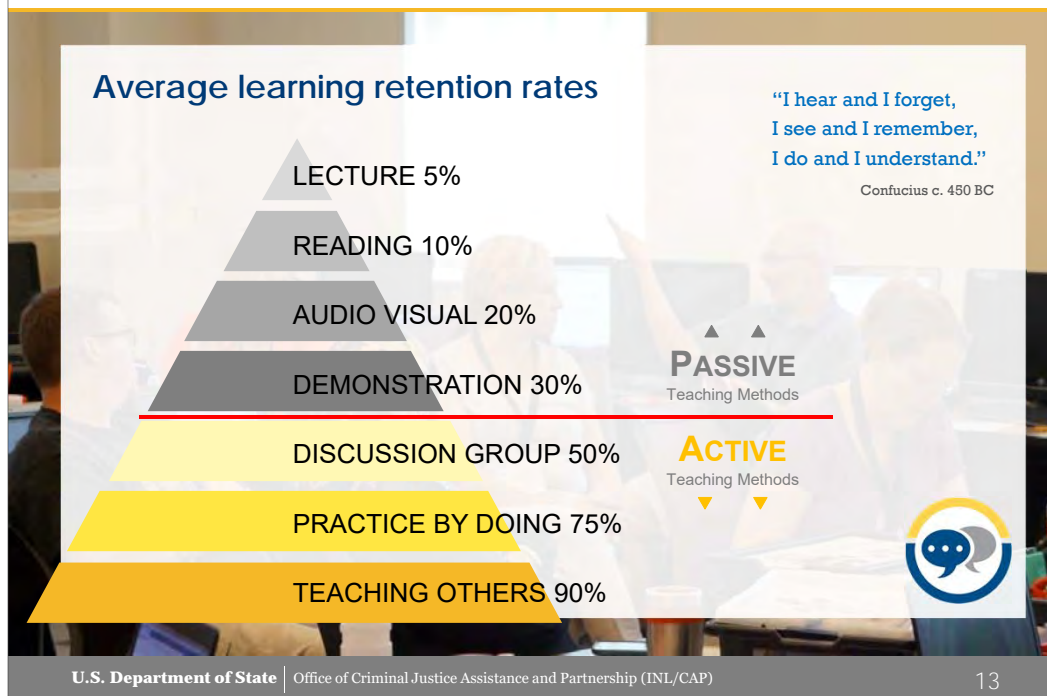


Facilitators are responsible for promoting and maintaining an environment in which the learning success of all learners is the expected and likely outcome. This starts on the first day when you exchange first impressions with the participants.

The learning environment includes a number of elements that can influence how people learn effectively:

- **Social Environment:** Humans are social creatures and have a need to belong within a social setting.
- **Physical Environment:** We need to feel comfortable to learn effectively.
- **Emotional Environment:** It is important to foster and maintain each person's self-esteem. Effective communication and empathy plays an important role in maintaining respect and trust.

Facilitating Learning



Adult learners retain knowledge longest when they practice what they learn. Their deep and powerful drive for self-direction makes them want to be in charge. Plan repeated opportunities for adults to put ideas and skills to work. Involving participants in training creates an environment where they can support each other and receive feedback from their peers. Establish the groundwork for each of these points on the first day of training.

Adults like variety. Use a variety of activities to help participants learn. Studies show that some prefer to receive their learning through visual stimulation like video clips, presentations, or handouts. Others prefer more auditory presentations like lectures. Trainers reach more participants and achieve more successful training by accommodating this need for variety.

To capture participants' interests and to touch upon the different ways they learn, consider these questions:

- Does your lesson plan have you acting as a lecturer or a facilitator?
- What can you do to encourage discussion amongst participants?
- What have you done to engage people with all learning styles?
- Do you have an activity that reinforces the lesson?
- What materials do you think would be important for your lesson?

Benefits of Facilitation

- **Knowledge retention:** Facilitation is a learning experience that helps participants retain new information and knowledge by actively engaging with the material through application.
- **Participant ownership:** Facilitation allows participants to take responsibility for both the course content and their learning. Because a facilitator acts as an advocate and guide, the participant is responsible for the learning experience.
- **Collaboration:** Facilitation is a collaborative experience because participant input and feedback are important. The characteristics of facilitation create an environment in which participants are comfortable collaborating and providing their input.
- **Increased morale:** Participant morale is higher in facilitation environments. Participants feel important because they realize they are essential to the collaboration and their ideas and opinions are valued.
- **Increased engagement:** Because participants feel valued in a facilitation environment, they are more likely to engage in the course and contribute to discussions and activities.

Lesson Plan

Write your own lesson plan using instructional strategies and resources.

LEARNING OBJECTIVE(S):	_____		
TOPIC STRUCTURE:	A	1	2
	B	B	3
	C	D	C
SUPPLIES:	_____		
NOTES:	_____		

Strategies & Methods

Select from the following sample strategies to apply in the above plan.

- | | | | | |
|--|---|--|-------------------------------------|--|
| <input type="checkbox"/> Activity/Exercise | <input type="checkbox"/> Brainstorm | <input type="checkbox"/> Demonstration | <input type="checkbox"/> Discussion | <input type="checkbox"/> Game/Simulation |
| <input type="checkbox"/> Icebreaker | <input type="checkbox"/> Lecture/Case Study | <input type="checkbox"/> Media/Video | <input type="checkbox"/> Role play | <input type="checkbox"/> Teach-back |

Resources

Whiteboard	<ul style="list-style-type: none"> • Position for easy reading by everyone • Write big and legibly • Use upper and lower cases • Use easily readable colors • Position around the room • Electronic whiteboard – provides record 	Slides	<ul style="list-style-type: none"> • Use white space and contrast • Use key words only • Avoid busy animations • Use minimal number of slides • Provide copy of slides • Incorporate other strategies
Flipcharts/ Posters	<ul style="list-style-type: none"> • Use color / icons/ pictures • Minimize words • Leave work around room for review • Great for reinforcing value • Creates positive room environment 	Videos	<ul style="list-style-type: none"> • View content prior to session • Make links with discussion or questioning • Keep it brief – max 10 minutes • Test equipment prior to session • Have a contingency activity
Handouts	<ul style="list-style-type: none"> • Use main points only where possible • Keep it simple • Use white space • Reference articles and resource material • Distribute at appropriate time • Ensure relevance and discuss content 	Technology	<ul style="list-style-type: none"> • Integrate the use of current online resources • Tablets can be easier to use than computers • Response systems provide quick feedback • Paper surveys can all be digitized • Game elements like jeopardy and buzzers

Facilitating Learning

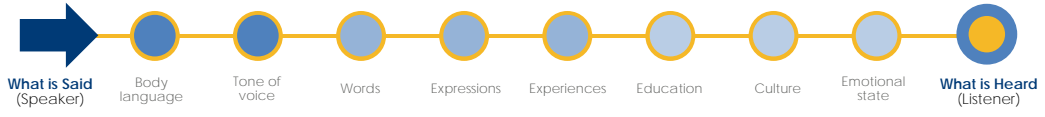


Facilitate discussions

- Listen actively (*repeat, paraphrase*)
- Ask questions (*open, probing*)
- Provide feedback (*be specific*)
- Understand assumptions



Elements of Effective Communication



The physical process of **hearing**, where sound enters your eardrum and is recorded in your brain, is not the same as listening. **Listening** is more of an attitude, a desire to understand what is being communicated.

Active listening means that we try to understand things from the speaker's point of view. It includes letting the speaker know that we are listening and that we have understood what he or she said. Active listening can be described as an attitude that leads to shared understanding. Active listening involves both proactive and reactive behaviors.

What we say is important, but often the visual and vocal aspects of communication are more critical. Of all the tactics and techniques necessary to facilitate learning, none are more crucial than effective communication. Listening is a crucial part of communication, but most people are actually poor listeners. Effective communication requires a facilitator to control how he or she uses his or her body, eyes, voice, and words.

Adults have a low tolerance for sitting and listening. After making a major point, ask participants to think how it could relate to their situation. Try some of these strategies to encourage discussion:

- **Listen actively:** repeat, paraphrase, meaning
- **Ask questions:** open-ended, probing questions
- **Provide feedback:** focus on behavior, be specific

Elements of Effective Communication (*nonverbal & verbal*)

Facial Expression

(*eye contact, smiling, or frowning*)



Eyes: Eyes are often the most revealing part of your face and tell others how you really feel. It is difficult to hide emotions with your eyes, so pay attention to the signals you send. Eye contact can also show you care that the participants are learning, and it can engage others in the room.

Smile: Your smile is the most direct way of communicating that you are happy to be there and that what you are sharing with others is worth their time. A smile does the following:

- Reassures a participant who is showing good effort
- Positively elevates the energy level in the room
- Makes participants comfortable

Body Language

(*posture, mannerisms, and physical distance*)



Body language—how you act and move—can enhance or undermine your message.

Posture: When you are interested in a subject, how do you sit? Do you slouch or let your shoulders droop? Or, do you sit up with a straight back to pay close attention. Exhibiting good posture allows you to communicate that what you are saying is important and that people should take note.

Movement: We project attitude toward the person we are communicating with (facing or leaning toward him or her), emotional state (tapping fingers, shaking feet), and sense of control (moving toward or away from the person). Be aware that body movement and position send a message.

Distance: The distance between people denotes comfort and formality. In general, a facilitator in front of a room will use social distance. When helping a participant, personal distance may be more appropriate; but always make sure that your participants are comfortable with the distance.

Verbal

(*what you say*)



The words you choose are essential to the effective communication of both complex and simple ideas. Basic guidelines when facilitating include:

Speak simply: An impressive vocabulary is good if used appropriately, but complex or highly technical words can easily confuse listeners. Use descriptive language that helps participants visualize what you are speaking about. Take care to enunciate clearly.

Be concise and organize your thoughts carefully so you will retain participants' attention. Do not talk just to take up time.

Use transitions when speaking. Transitions cause the lesson to sound smoother and keep participants engaged by signaling to them what is going to come next. A series of seemingly unrelated facts or ideas is likely to confuse or bore participants.

Avoid verbal distractors: Examples of verbal distractors include "uh," "you know," "actually," "like," and other pieces of spoken filler.

Verbal

(*how you say it*)



Force and volume: The force and volume of your vocal presence can directly affect how you are perceived. Variety in volume gives color and texture to the voice. Without color, you lose interest and impact.

Pitch: Level of a person's voice on a musical scale. Some people have high-pitched voices; others are extremely low. As a facilitator, you must become comfortable with the natural pitch of your voice. Varying pitch through vocal inflection can be used to emphasize points or indicate meaning.

Tone: A sensitive indicator of emotions and feelings that is likely to reflect your feelings toward the lesson you are presenting.

Rate and clarity: Speed and articulation of speech. The faster you speak, the harder it is for your listener to understand. The easiest way to instantly increase the clarity of your speech is to simply slow down.

Facilitating Learning



Facilitate activities

- Develop purpose, goals, rules
- Link activities to objectives
- Prepare in advance—practice
- Use discussion techniques
- Integrate media and games
- Encourage full participation
- Circulate the room
- Debrief as a group

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Traits of an Effective Facilitator

- Sensitivity:** A good facilitator will create and sustain an environment of trust and openness in which everyone feels safe to speak honestly and differences of opinion are respected.
- Ability to listen:** By listening to both the explicit meaning of words and their implicit meanings, a facilitator will be able to sense the feelings of individuals and the group.
- Ability to hold learners' attention:** Body language, tone of voice, and manner of dress can affect the way learners react to a facilitator.
- Ability to draw information from learners:** Engaging the learners in the learning ensures they learn from each other and feel a part of what is happening in the classroom.
- Tact:** Being tactful in every situation is important.
- Honesty:** A facilitator should be honest with learners about the limits of his or her own abilities.
- Commitment to collaboration:** Collaborative learning can seem frustrating and inefficient at times, but a good facilitator realizes the empowering value of collaborative learning.
- Sense of timing:** A successful facilitator knows the value of timing in the training environment. He or she knows when to bring a discussion to a close or when to extend it beyond its allotted time.

Strategies for active listening:

- Don't interrupt:** Pay attention to each concept as it is presented. Don't try to fast-forward through the conversation. When a response is warranted, wait a few seconds before speaking to review what you've just heard.
- Ask questions:** When asked at the appropriate time, questions can help move the conversation along by clearing up areas of misunderstanding. Try to paraphrase and summarize the speaker's words in your questions.
- Use verbal cues:** Phrases such as "I see" and "I understand" can help you summarize in your own words what you've just heard. This allows the speaker to correct misunderstandings early and elaborate on possibly unclear concepts. Verbal cues also signal to the speaker that you are involved in the conversation.
- Take notes:** Notes allow you to check your recollection against the speaker's words. The act of taking notes is a signal that you're interested in the topic and, by extension, the speaker's views on that topic.
- Maintain eye contact:** Don't stare down the speaker, but do maintain a polite and respectful eye contact with him or her. Be attuned to social cues—can you read people's emotions?
<http://nyti.ms/15Offg5>



Peacekeeping Operations

This module provides you with an overview of United Nations (UN) peacekeeping operations to help meet contemporary peacekeeping demands and challenges.

Your Learning Objectives

Upon successful completion of this module, you should be able to:

- Describe the purpose of peacekeeping missions
- Explain the various mission components including military, police, and civilian
- Discuss your role and responsibilities

Topics

- Peacekeeping
- Mission integration
- Peacekeeping responsibilities

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Peacekeeping Operations



United Nations Peacekeeping

- Viewed as a credible force for good
- Helps countries navigate from conflict to peace
- Ensures the protection and promotion of human rights
- Addresses a range of mandates set by UN
- Ready to deploy military, police, and civilian peacekeepers worldwide



UN peacekeeping began in 1948 when the Security Council authorized deployment of UN military observers to monitor the Armistice Agreement between Israel and its Arab neighbors.

Since then, 71 peacekeeping operations have been deployed, with 15 currently active. One hundred twenty-four countries contribute to these operations, with 122,000 troops, police, and civilian personnel. More than 95% of peacekeepers work in missions with a protection of civilians mandate.

In its early years, peacekeeping was primarily limited to maintaining ceasefires, stabilizing situations on the ground, and providing support for political efforts to resolve conflict. Unarmed military observers and lightly armed troops were assigned monitoring, reporting, and confidence-building roles.

Today, peacekeepers are increasingly charged with:

- Assisting in political processes
- Reforming judicial systems
- Training law enforcement and police forces
- Disarming and reintegrating former combatants
- Supporting the return of internally displaced persons and refugees

Peacekeeping has unique strengths, including legitimacy, burden sharing, and an ability to deploy and sustain troops and police from around the globe, integrating them with civilian peacekeepers to advance multidimensional mandates.



A unique global partnership

The UN peacekeeping effort draws together the legal and political authority of the Security Council, the personnel and financial contributions of Member States, the support of host countries, and the accumulated experience of managing operations in the field. It is this partnership that gives UN peacekeeping its legitimacy and global reach.

Principles of peacekeeping

There are three basic principles that continue to set UN peacekeeping operations apart as a tool for maintaining international peace and security. These principles are inter-related and mutually reinforcing:

1. Consent of the parties
2. Impartiality
3. Non-use of force except in self-defense and defense of the mandate

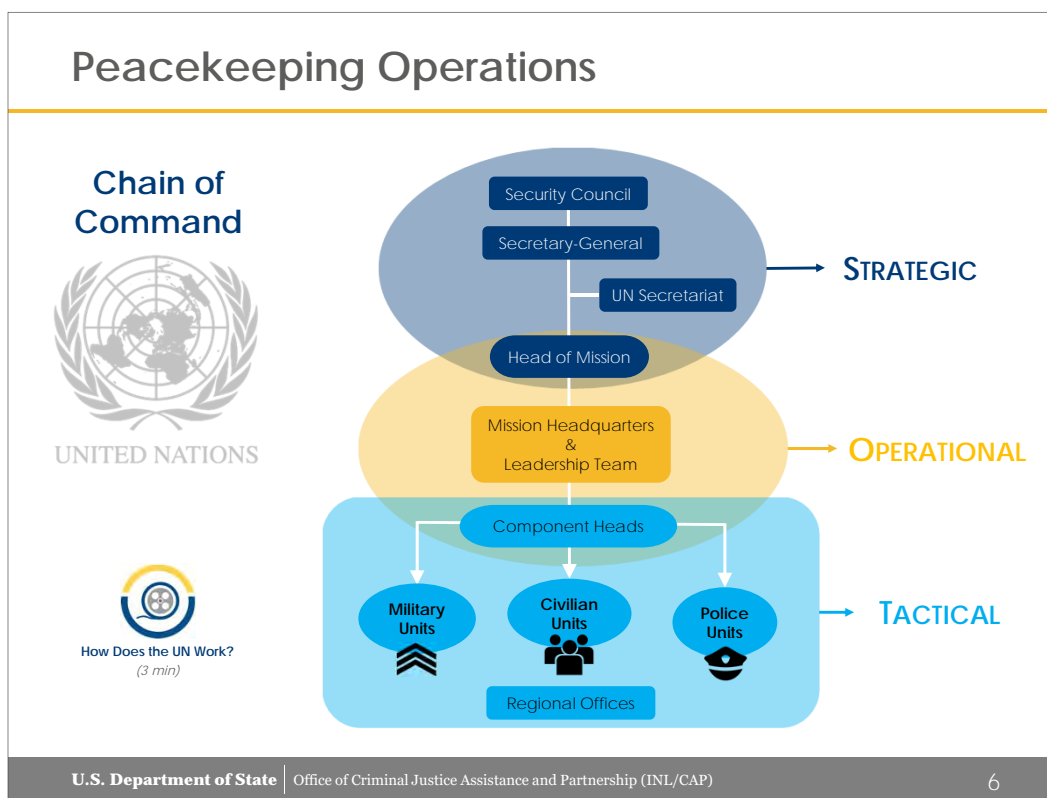
UN peacekeeping operates in the most dangerous and difficult environments in the world achieving what others cannot, but success is never guaranteed.

Since 1948, the UN has helped end conflicts and foster reconciliation in dozens of countries, including Cambodia, El Salvador, Guatemala, Mozambique, Namibia, Sierra Leone, Burundi, Côte d’Ivoire, Timor-Leste, Liberia, Haiti, and Kosovo. By providing basic security guarantees and responding to crises, these UN operations have supported political transitions and helped buttress fragile new state institutions.

Success factors for peacekeeping operations:

- Be guided by the principles of consent, impartiality, and non-use of force except in self-defense and defense of the mandate
- Be perceived as legitimate and credible
- Promote national and local ownership of the peace process in the host country

However, UN peacekeeping was not successful in Somalia, Rwanda, and the former Yugoslavia in the early 1990s. These setbacks provided important lessons for the international community when deciding how and when to deploy and support UN peacekeeping as a tool to restore and maintain international peace and security.



The United Nations peacekeeping has evolved into a complex, multi-dimensional enterprise involving personnel from a wide range of nationalities, disciplines, and professional cultures pursuing multiple lines of activity.

The **General Assembly** is the main deliberative, policymaking, and representative organ of the UN. The **Security Council** is the UN body with primary responsibility for maintaining peace and security:

- It may investigate and recommend peaceful measures to resolve disputes between Member States
- It may take coercive action if it determines a threat to peace and security

Within the United Nations Secretariat:

- Department for Peacekeeping Operations (DPKO) is responsible for providing United Nations peacekeeping operations with policy guidance and strategic direction
- Department of Field Support (DFS) is responsible for providing logistical and administrative support
- To ensure unity of command at the Headquarters level, the Under-Secretary-General for Field Support reports to the Under-Secretary-General for Peacekeeping Operations on all peacekeeping related matters

In the field, the:

- Special Representative of the Secretary-General and Head of Mission (SRSG/HOM) exercises operational authority over peacekeeping operation's activities
- SRSG/HOM and deputies form part of a Mission Leadership Team (MLT)
- MLT is responsible for overseeing the implementation of the mission's activities including military, police, and civilian resources
- Deputy Special Representative of the Secretary-General and Resident Coordinator/Humanitarian Coordinator (DSRSG/RC/HC) serves as the principal interface with the UN Country Team (UNCT)
- UNCT is an inter-agency body that consists of the representatives of the UN organizations working in the country to ensure inter-agency coordination and decision-making at the country level
- UNCT includes the component heads of civilian, military, and police units

Peacekeeping Operations



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Integration and coordination require a high degree of sensitivity to the interests and operating cultures of three broad sets of actors—mission components, UN country teams, and external partners.

The simple image hides very complex dynamics:

- Integrating mission components: The components of a peacekeeping operation—civilian, police, military, and support—fall under the direct authority of the Head of Mission and Mission Leadership Team. In large missions, four centers facilitate the integration between these components.
- Integrating the country team. Although members of the country team fall under the overall authority of the Head of Mission, in reality they are governed by distinct mandates, decision-making structures, and funding arrangements. As a result, integration can be achieved only through a constant process of dialogue and negotiation.
- Integration with external partners. The large number of international and national actors implementing activities in post-conflict environments precludes the development of one common plan or strategy. These actors pursue independent agendas, which may or may not coincide with the strategic priorities identified by the peacekeeping operation.

Peacekeeping Operations



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The UN has the unique ability to employ a mix of civilian, police, and military capabilities under a unified leadership to support a fragile peace process. These integrated missions are designed to facilitate a coherent, system-wide approach to UN engagement in countries emerging from conflict.

Although the components of a UN peacekeeping operation have the same mandate, share a single budget, and depend on the same integrated support services, a number of significant structural and cultural differences exist within and between them.

Peacekeeping Operations

Military

- Most visible component of a peacekeeping
- Work alongside UN police and civilian colleagues
- Promote stability, security, and peace processes
- Protect personnel and property

U.S. Department of State | Office of Criminal Justice Assistance and Partnership (INL/CAP) 12

The military personnel on the ground are the backbone and the most visible component of a peacekeeping operation. They work alongside UN police and civilian colleagues to:

- Promote stability, security, and peace processes
- Protect personnel and property

Military personnel working under the UN flag are first and foremost members of their own national armies. Military personnel provided by Member States are under the operational control of the UN Force Commander or head of the military component, not under United Nations command. However, once assigned under UN operational control, they should not act on national direction, particularly if those actions might adversely affect implementation of the mission mandate or run contrary to UN policies.

UN military personnel can be called upon to:

- Protect civilians and UN personnel
- Monitor a disputed border
- Monitor and observe peace processes in post-conflict areas
- Provide security across a conflict zone
- Assist in-country military personnel with training and support
- Assist ex-combatants in implementing the peace agreements they may have signed

Read more: <https://peacekeeping.un.org/military>

Peacekeeping Operations



Police

- Reinforce security
- Patrol communities
- Advise police services
- Contribute to the protection of civilians and human rights
- Restore and promote public safety and the rule of law

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The UN has been deploying police officers in peace operations since the 1960s. Traditionally, the mandate of police components in peacekeeping operations was limited to monitoring, observing, and reporting. From the early 1990s, advisory, mentoring, and training functions were integrated to allow peacekeepers to act as a corrective mechanism with domestic police and other law enforcement agencies.

All police personnel working under the UN flag are active members of their home police services seconded to work with the UN. The number of police officers in peacekeeping operations and special political missions increased from 5,840 in 1995 to over **15,000** in 2017 and comprise formed police units, individual police officers, contracted seconded police and civilian experts.

A crucial part of UN peace operations

The mission of United Nations Police (UNPOL) is to enhance international peace and security by supporting Member States in conflict, post-conflict, and other crisis situations to realize effective, efficient, representative, responsive, and accountable police services that serve and protect the population.

To that end, UN police officers work to build and support or, where mandated, act as a substitute or partial substitute for host-State police capacity to prevent and detect crime, protect life and property, and maintain public order and safety in adherence to the rule of law and international human rights law.

Read more: <https://peacekeeping.un.org/un-police>

Peacekeeping Operations



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UN police officers work to protect civilians from harm; help secure elections; investigate incidents of sexual and gender-based violence; or fight transnational organized crime and violent extremism alongside their host-State counterparts.

In addition to these challenging tasks, UN police officers work in unfamiliar environments and must navigate among the policing approaches of colleagues from about 90 countries.

This expansion of demands requires strategic thinking and a policy foundation of how to perform these new and emerging tasks. The *Strategic Guidance Framework for International Police Peacekeeping* provides guidelines on:

- Police administration
- Police capacity-building and development
- Police command
- Police operations

This framework provides the guidance necessary for a police component in a multilateral peace operation to play its part in an integrated approach to conflict management and sustainable peacebuilding. It will be complemented by practical-levels manuals and training materials.

Read more: www.un.org/en/peacekeeping/sites/police

Guidelines on the four core pillars of a UN police peacekeeping component:

- **Police Administration:** the administrative systems, including budget management, procurement, record-keeping and personnel management, needed for the effective and efficient performance of the police component
- **Police Capacity-Building and Development:** how to best prepare officers and host-State institutions to ensure the long-term sustainability of international peace efforts
- **Police Command:** the resources, skills, capabilities, and structures required to lead a complex, multidimensional peace operation
- **Police Operations:** day-to-day police work, applying the basic principles of community-oriented and intelligence-led policing to carry out investigations, provide public safety, and conduct special operations

Download and read each guideline:

www.un.org/en/peacekeeping/sites/police/initiatives/policy

Peacekeeping Operations



Civilian

- Strengthen social and civic conditions for peace
 - Local representation, monitoring, and facilitation
 - Confidence-building, conflict management, and reconciliation
 - Support to the restoration and extension of state authority



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The civilian components in a peacekeeping operation depend on the mandate of the mission. Traditional peacekeeping operations are primarily military and have a limited number of substantive civilian components. Multidimensional peacekeeping operations, on the other hand, have many civilian components, including political affairs, civil affairs, human rights, gender, and public information.

Depending on the mandate of the mission and the evolving situation on the ground, civil affairs performs three roles:

1. Cross-mission representation, monitoring, and facilitation at the local level. Civil affairs officers monitor the progress of the peace process and mandate implementation at the local level; they provide mission leadership with information about the local environment and carry out conflict analysis and early warning of local conflict.
2. Confidence-building, conflict management and support to reconciliation. Usually in partnership with other mission components and local and international partners, civil affairs supports the development of social and civic conditions conducive to sustainable peace.
3. Support to the restoration and extension of state authority. Over the last few years, the need to stabilize weak states emerged as a critical requirement to keeping and building peace.

Read more: <https://peacekeeping.un.org/civilians>

Peacekeeping Operations



Restoring peace and stability

- (Re)establish security sector
- Promote poverty reduction and good governance

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Security sector reform in post-conflict environments is critical to the consolidation of peace and stability, promoting poverty reduction, rule of law and good governance, extending legitimate state authority, and preventing countries from relapsing into conflict. For sustainable peace and development, people must feel safe and secure and have confidence in their State.

Security sectors usually include structures, institutions, and personnel responsible for the management, provision, and oversight of security to include:

- Defense
- Law enforcement
- Corrections
- Intelligence services
- Institutions responsible for border management, customs, and civil emergencies

Peacekeepers work in close cooperation and coordination with other civilian and uniformed components of peace operations in:

- Protecting civilians
- Addressing conflict-related sexual violence and violations against children
- Strengthening respect for human rights and the rule of law through legal and judicial reform, security sector reform, and prison system reform

Read more:

<https://peacekeeping.un.org/security-sector-reform>

Peacekeeping Operations



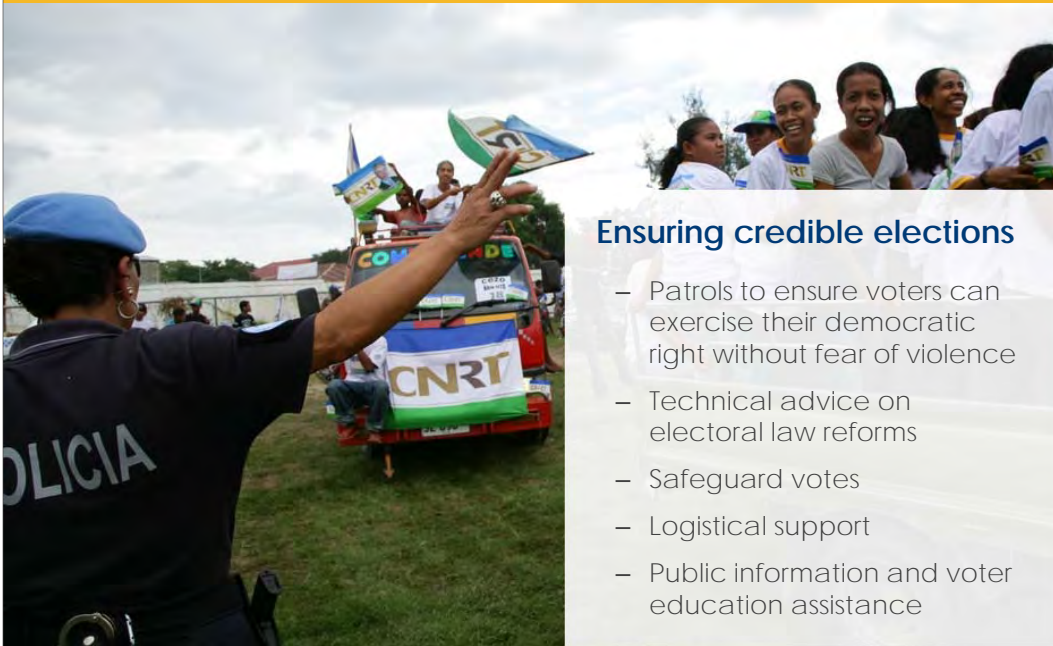
Rule of law is the legal and political framework under which all persons and institutions, including the State itself, are accountable. Establishing respect for the rule of law is fundamental to achieving a durable peace in the aftermath of conflict. It requires strengthening confidence in police, justice systems, and correctional services.

Laws need to be publicly promulgated, equally enforced, and independently adjudicated; they must be consistent with international human rights norms and standards. Peacekeeping works to strengthen police, justice, and corrections institutions as well as the institutions that can hold them accountable.

Typically, the independence of the judiciary is weak, their salaries low and often unpaid, providing a fertile ground for corruption. Prisons typically suffer from extreme overcrowding, lack of food, absence of adequate medical care, and poor sanitation. Political interference is often rampant, and oversight mechanisms non-existent or biased.

Read more: <https://peacekeeping.un.org/strengthening-rule-of-law>

Peacekeeping Operations



Ensuring credible elections

- Patrols to ensure voters can exercise their democratic right without fear of violence
- Technical advice on electoral law reforms
- Safeguard votes
- Logistical support
- Public information and voter education assistance

U.S. Department of State | Office of Criminal Justice Assistance and Partnership (INL/CAP)

Credible and transparent elections are one of the key first steps for post conflict societies to establish long lasting peace and security.

UN peacekeeping has provided crucial technical and logistical assistance in milestone elections in many countries, including in the DR Congo, Côte d'Ivoire, Afghanistan, Liberia, and Sudan.

Countries can request assistance to their national authorities in charge of administering elections. UN work in this area involves:

- Patrols to ensure voters can exercise their democratic right without fear of violence
- Technical advice on the reform of electoral laws and the establishment of procedures to ensure the vote is safeguarded
- Logistical support such as distribution of ballot materials
- Public information and voter education assistance through a variety of UN communication channels available to the field missions, including radio

Although election observation is no longer common, the UN has, in exceptional circumstances, responded to requests to assess or even validate the integrity of an electoral process.

Read more: www.un.org/en/peacekeeping/issues/electorassistance

Peacekeeping Operations



Promoting human rights

- Honor human dignity
- Empower women
- Advocate for human rights



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All staff in peace operations have the responsibility to ensure the protection and promotion of human rights through their work. UN peacekeepers implement the human rights-related mandates given to missions and help mainstream it across all mission activities.

Core activities for a human rights team include:

- Human rights monitoring, investigations, and analyses
- Preventing human rights violations, including through mission-wide early warning mechanisms
- Responding to violations of human rights, including support for accountability
- Advocacy, intervention, and reporting
- Human rights advice, support for institutional reform and capacity building, working closely with host governments, national institutions and civil society
- Advising and assisting other mission teams in integrating human rights in their mandated tasks

Read more:

<https://peacekeeping.un.org/promoting-human-rights>

Peacekeeping Operations

Protecting civilians

- Address violations
- Protect children
- Conflict magnifies risks
 - Abductions
 - Military recruitment
 - Killing
 - Maiming
 - Sexual exploitation and abuse



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Civilians have increasingly become victims of armed conflict. In response, the Security Council has mandated a number of missions with the protection of civilians (POC) from physical violence. Failure to protect civilians can result in the loss of legitimacy of the peacekeepers in the eyes of the local population. Peacekeeping operations have faced innumerable challenges in implementing this extremely complex, but critically important mandate:

- Peacekeepers often protect civilians in harsh conditions, with limited or insufficient resources, and with partners who sometimes lack the will or capacity to do their part
- Peacekeeping operations often deploy amidst the unrealistic expectation that they will be able to protect all civilians at all times
- The dynamic nature of the places in which peacekeepers operate means the security situation can change very quickly

Conflicts disproportionately affect children; some will grow up having seen violence throughout their lives. Many are subject to abductions, military recruitment, killing, maiming, and numerous forms of exploitation.

In many conflict-ridden countries, peacekeeping missions are the largest actor on the ground and their contribution is vital to protecting children. Action by peacekeepers can help break the cycle of violence and lay the foundations for durable peace.

Read more: <http://childrenandarmedconflict.un.org>

Peacekeeping Operations

Scenario

Republic of Gandour

- Population: **10** million
- GDP per capita: **\$1,800**
- Language: **French**
- Emerging from a conflict based on ethnic and sectarian violence



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You represent a mission component of a UN peacekeeping operation that has just deployed in the dangerous aftermath of a violent internal conflict in the Republic of Gandour. This multi-dimensional operation relies upon a mix of military, police, and civilian capabilities to support the implementation of a comprehensive peace agreement.

Evidence shows that a large proportion of all civil wars are due to a relapse of conflict, the risks of which are particularly high in the first 5-10 years following a conflict, so you are in a particularly challenging environment.

You find that the State’s capacity to provide security to its population and maintain public order is weak, and violence is still ongoing in parts of the country. Basic infrastructure is destroyed and large sections of the population have been displaced. Society is divided along ethnic lines, and grave human rights abuses were committed during the conflict.

SECURITY THROUGH JUSTICE

Managing Projects for INL

Bureau of International Narcotics and Law Enforcement Affairs (INL)

Managing Projects

This module provides strategies and best practices for managing projects for overseas mission operations.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Discuss the six critical planning mistakes project managers make
- Describe the importance of planning and team building for successful projects
- Build a strong project foundation
- Measure success
- Explain how to manage the people dynamics

Topics

- Planning mistakes
- Building a strong foundation
- Measuring success
- Managing the people dynamics

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Managing Projects for INL

Projects

Instruments of collaboration that unite people and resources to reach an organization's strategic goals



The more common definition of projects is: *a series of tasks that need to be completed in time and under budget to reach a specific outcome*. However, this definition overlooks the need to fulfill the strategic intent. Good project managers can get the project built on time and within budget but miss the higher objective that motivates the project.

Managing Projects for INL

Project management

- Talk about a project that stands out to you—for its failure or success.
- Why did the project fail or succeed?
- What were the lessons learned during the project?



U.S. Department of State | Bureau of International Narcotics and Law Enforcement Affairs

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Problem: Judges repeatedly adjourned cases, which resulted in a backlog of criminal cases to be tried.

Determined Cause of Problem: Planners identified judges as the cause.

Consultations: Embassy officials and senior justice sector representatives

Project: Design a case management system to create a process for managing judicial workloads

- The system was designed, tested, and installed in a pilot court in the capital city.
- Significant training and equipment were provided to court staff.

Result: The backlog continued to grow.

Issues Not Considered:

- Most judges and lawyers had not used computers in their day-to-day work.
- Most court staff outside the capital city did not speak English well or possess computer skills.

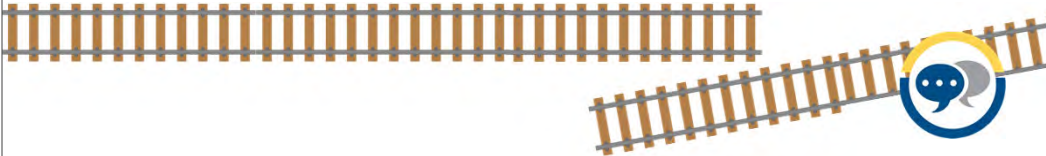
Real Causes of the Problem:

- Judges and lawyers routinely met informally before court and often discussed cases, including whether to hold hearings.
- It was widely understood among the local bench and bar that failure to adjourn cases could result in retribution against members of the judge’s extended family elsewhere in the country.

Managing Projects for INL

Six common project mistakes

1. Tolerating vague objectives
2. Ignoring environmental context
3. Using limiting processes
4. Neglecting stakeholder interest
5. Settling for one-time planning
6. Mismanaging people dynamics



Many project managers jump into a project without planning, but initial planning is the most vital part of the project.

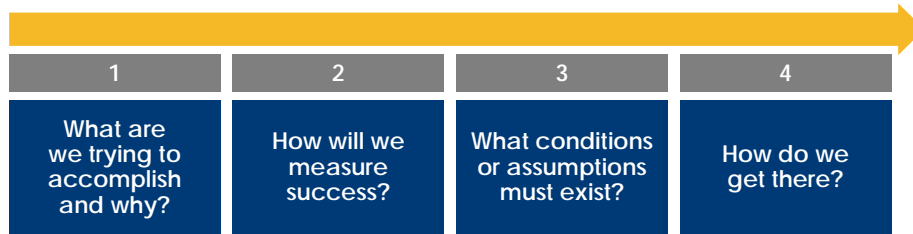
The six common mistakes are as follows:

- **Tolerating vague objectives:** In the rush to implement the project, not enough open and candid thinking goes into clarifying the change objectives.
- **Ignoring environmental context:** Project managers must consider risk factors outside the project boundaries and how they can affect the project.
- **Using limiting tools and process:** Project managers must spend time planning and solidifying the plan before considering project management tools that deal only with schedules and deliverables.
- **Neglecting stakeholder interests:** Projects suffer without the buy-in from stakeholders.
- **One-shot planning:** As conditions change, project plans must be updated to reflect new learning and progress. Updating means periodically stepping back and examining how the environment has changed and then revising strategies as needed.
- **Mismanaging people dynamics:** Projects require the committed, coordinated action of many people. Without it, projects fail.

Managing Projects for INL

Building a strong foundation

Questions that form the foundation of project management



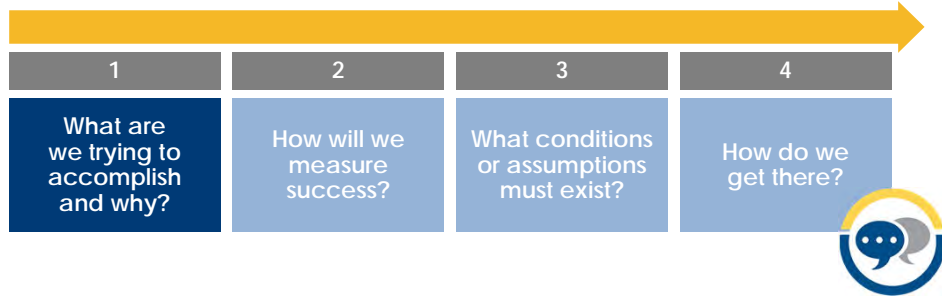
These four questions form the foundation of project management:

- **What are we trying to accomplish and why?** The question of what the project should accomplish and why must be answered before deciding on the how, who, and when.
- **How will you measure success?** Until you determine the answer to this question, the project is just a dream.
- **What other conditions must exist?** This question puts the project into a larger strategic context. What outside factors may disrupt the plans? Focus on both what you can control and what you cannot control.
- **How do we get there?** Now is when you get into the details of the project.

Managing Projects for INL

What are we trying to accomplish and why?

- This question drives everything else in the project
- The answer articulates why you are doing this project and shows what management would like to see as a result of the project
- Involve stakeholders in carefully diagnosing the problem



The question of what the project should accomplish and why it needs to be done drives everything else in the project. The answer articulates why you are doing this project and shows what management would like to see happen as a result of the project.

To determine what you are trying to accomplish, first identify the problem. Spend time carefully diagnosing the problem because the way you define it shapes the range of solution options. Find the right problems to solve.

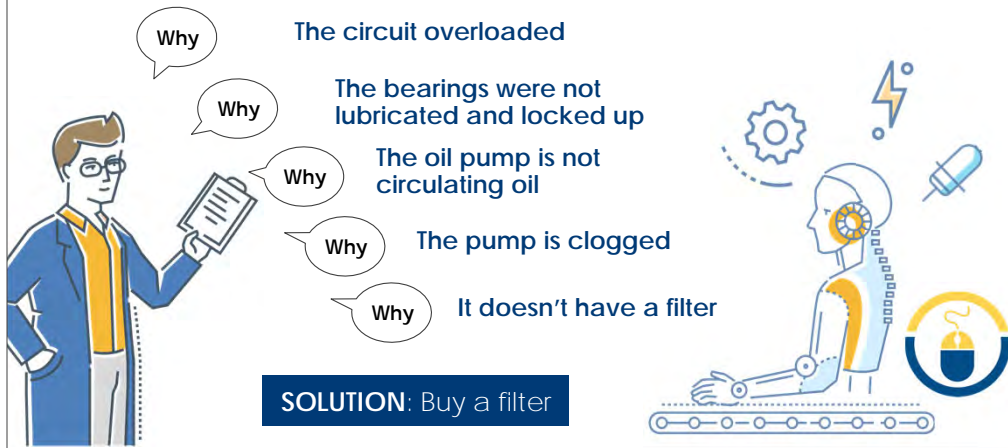
Involve stakeholders early on to help you define the right problem. Ask them the following questions:

- What do you see as the problem?
- Why is this a problem and for whom?
- What causes the problem?
- What are the consequences if we ignore the problem?
- How will you know when the problem is gone?
- What benefits will a solution bring?
- What will an ideal solution look like?

Managing Projects for INL

Determining "what are we trying to accomplish"

Problem: The robot stopped working

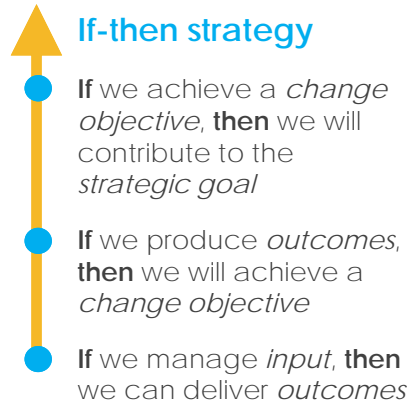


The "five whys" is a problem analysis method developed by the Toyota Motor Corporation to help understand why problems occur. The process is simple: ask why a problem occurred, re-ask the why question embedding the answer to the previous question; repeat at least five times.

Especially in complex interactions between the public and government agencies such as courts, police, and corrections, identified problems often have multiple related causes. Identifying these causes—and often separating the causes from additional symptoms—can be a challenge. However, not getting to the root cause of the problem results in lost time and money and the problem still unresolved.

Managing Projects for INL

Turning problems into objectives

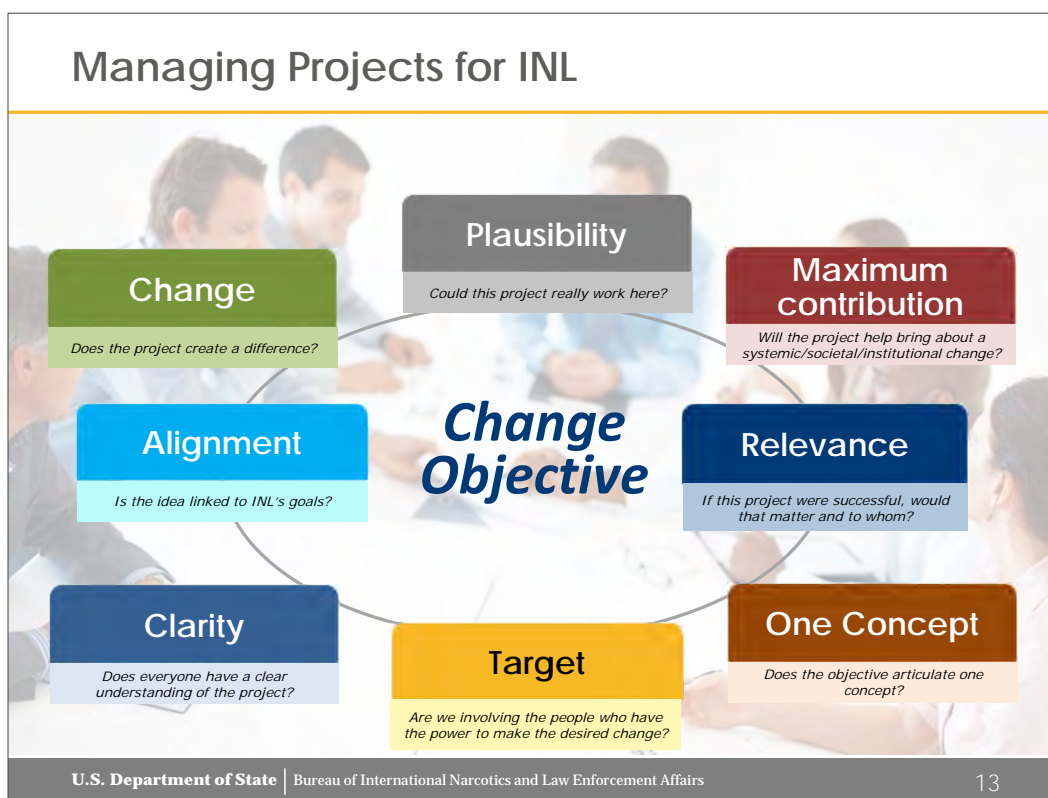


The **goal** is determined by INL senior management. For example, the goal could be to increase (a country's) capacity to prevent and combat the cultivation, trafficking, and use of drugs. Multiple projects and other factors are required to satisfy that strategic goal.

For example, one problem has been determined to be that the Complex Crime Investigation Unit cannot conduct complex investigations. Your assignment is to correct that. You turn the problem into a change objective, which is: The Complex Crime Investigation Unit conducts complex investigations.

The **change objective** is the impact anticipated by the project, which is designed to support the strategic goal. This objective is the most critical part of the project design—it links the outcomes to the strategic goal. The **outcomes** are the specific results the project team must deliver by managing the inputs. They, too, are driven by objectives. The **inputs** are the activities and the resources necessary to produce outcomes.

Multiple outcomes are required to satisfy the objective. For example: (1) Police have equipment to extract and analyze electronic data; (2) Bureaucratic incentives are in place that support conducting complex investigations, etc. The **inputs** are steps the project team will take to achieve the outcomes. For example: provide equipment; train the investigative unit to use the equipment, etc.



Change: A change is a difference, external to INL and its implementers—e.g., The Complex Crime Investigation Unit conducts complex investigations.

Plausibility: Expecting to achieve the goal is reasonable given the planned interventions and timeline. In particular, consider:

- **Dosage:** The expected outcomes are enough to catalyze the scale of desired change.
- **Necessary and sufficient:** Sub-changes (outcomes) address enough of the causes of the issue that expecting to see change at the next higher level is reasonable. No extraneous changes are sought.

Alignment: The program goal fits within INL policy.

Relevance: The goal addresses a significant need of the target group and the activities would cause the desired change.

Maximum contribution: The objective is such that it will help bring about a systemic/societal/ institutional change.

Clarity: Everyone involved in the program has a similar understanding of what the project is to accomplish.

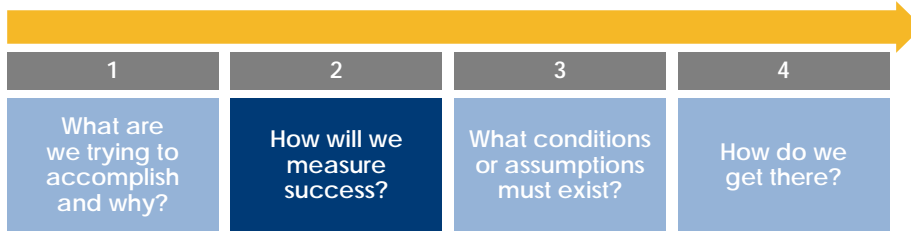
One Concept: Objectives articulate one concept.

Target population: Objectives state the target population central to achieving change.

Managing Projects for INL

How will we measure success?

- Measures intelligently guide the project
- The best measures are valid, verifiable, targeted, and independent



The ultimate test of any strategy is how well it delivers measurable expectations:

- Goal measures are long-term impact of the overall project.
- Change objective measures describe conditions that should exist when the project is complete.
- Outcome measures describe tangible results of the project.
- Input measures deal with the activity, budget, and schedule.

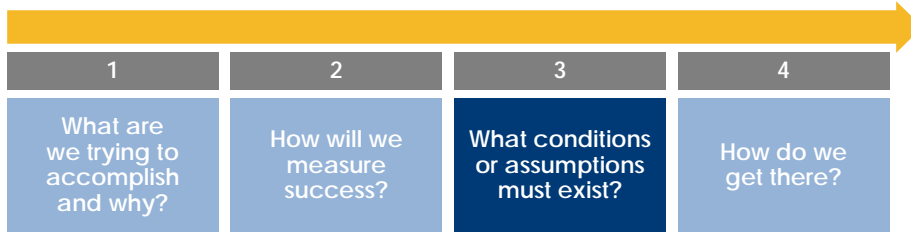
Make measures verifiable—measurements demand unbiased and verifiable evidence, not subjective interpretation. Collect data that show progress but also data that show whether you are off track.

Data for verification can include: surveys, records, studies. For example, for the outcome: develop the public's understanding of the role and limitations of policing in society, verification can include brochures that were published, surveys that were given, polls, data collected, etc.

Managing Projects for INL

What conditions or assumptions must exist?

- Identify key assumptions
- Analyze and test the assumptions
- Act on the assumptions



Assumptions—external conditions that must exist for the project logic to be valid. These are conditions over which the project team does not have control. These conditions can be political, cultural, and economic climate, resources, management support, etc.

What assumptions are necessary to consider? Make assumptions positive assertions that have to exist for the if-then strategy to work. For example: Management supports the project; resources are available for the project; the community trusts the judiciary.

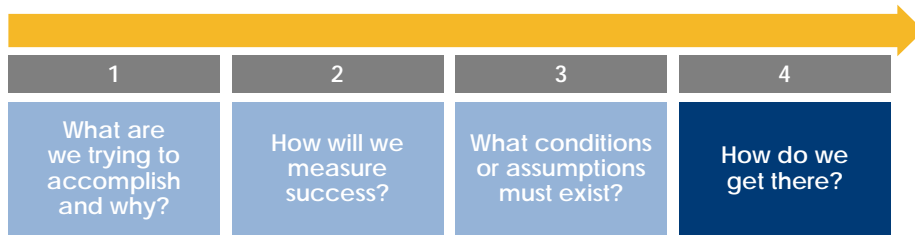
Analyze and test the assumptions. How important is each assumption to success or failure of the project? How probable is the assumption? If the assumption fails, what are the consequences? How can you work with or around the assumption? Can you design the project to minimize the impact?

Use the assumptions to make informed decisions about the project design.

Managing Projects for INL

How do we get there?

- Confirm the outcomes
- List key activities for each outcome
- Identify task sequences
- Identify resources needed for each task
- Clarify responsibilities



Confirm the outcomes. Determine that they are your best guess of what is needed to achieve the change objective.

List key activities for each outcome.

Identify task sequences by examining what comes before and after. After each step, determine the next by asking whether anything else needs to be done before or after the step. Develop a Gantt chart or similar task schedule.

Identify resources needed for each task.

Clarify responsibilities.

Managing Projects for INL

Responsibilities

Unassigned



Assigned

The illustration shows four silhouettes of people standing together, representing clearly assigned roles.

Input	Responsibilities				
Action Step	Name	Name	Name	Name	Name
→	R	P	C	I	A

Four people, Anybody, Everybody, Somebody, and Nobody, were part of a project team. An important input needed to take place.

- Everybody was sure that Somebody would do it.
- Anybody could have done it, but Nobody did it.
- Somebody got angry because he thought it was Everybody's job.
- Everybody thought Anybody could do it but Nobody realized that Somebody didn't do it.
- Everybody blamed Somebody when Nobody did what Anybody could do.

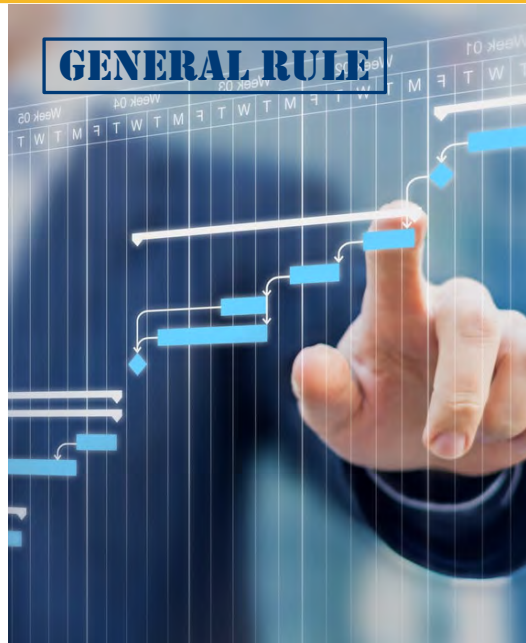
Determining roles can be easy with a linear responsibility chart. To clarify the outcomes or tasks, gather all team members in front of a whiteboard:

- Draw a large matrix.
- List all activities vertically.
- List key actors horizontally.
- Discuss each activity and define roles (indicate with a letter code shown below)
 - R** - Responsible for doing
 - P** - Participates
 - C** - May be consulted
 - I** - Must be informed
 - A** - Approves

Managing Projects for INL

Milestones

- One-month project may have one or two milestones per week
- Six-month project may have 12 to 15 milestones or one every two weeks
- Longer term projects should have milestones at least every three weeks



Two areas to be aware of are project management and project review.

- Project management asks: “ Are we on track?”
- Project review asks: “ Are we on the right track?”

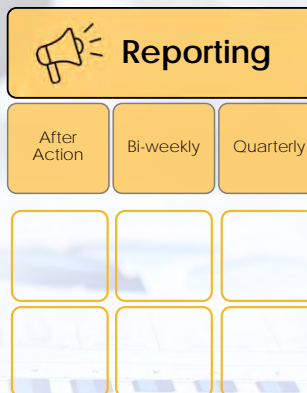
Other questions to ask include:

- Is our change objective still valid?
- What is our progress toward the change?
- Is our purpose likely to be achieved with this plan?
- Will this purpose get us to the goal?
- What is the status of assumptions?
- Are these the right outcomes?
- Are we producing them effectively?
- Should new outcomes or assumptions be added?
- Should outcomes or assumptions be deleted?

Managing Projects for INL

Timely reporting allows you to:

- Communicate what you do
- Monitor and track progress
- Demonstrate impact
- Document lessons learned
- Be accountable and transparent



Project managers are required to submit a number of reports—usually after-action, bi-weekly, and quarterly. Offices may have different requirements, so make sure you understand the reporting requirements before leaving on your assignment.

The reports should describe major milestones, significant activities, and successes as well as your analysis of progress made toward achieving objectives. It may also include upcoming meetings, tasks, events, and deliverables anticipated within the next reporting period relative to the topic. The report may also include challenges or concerns experienced or forecasted.

Provide a concise description of the project. Choose a simple format that enhances readability and present related data in tables, graphs, or charts for clarity. Avoid technical terms, jargon, and abbreviations whenever possible.

Good report writing is important for a variety of reasons, including creating a record of events, justifying funding, and aiding in decision-making. In an international assignment, it is valuable for reports to contain relevant context, qualitative and quantitative data points, and a chronological analysis providing the writer's assessment of the situation.

Managing Projects for INL

Managing the people dynamics

- The essence of every project is the people—the relationships, skills, and ability to work as a team
- From the first day, successful project managers focus on understanding human dynamics

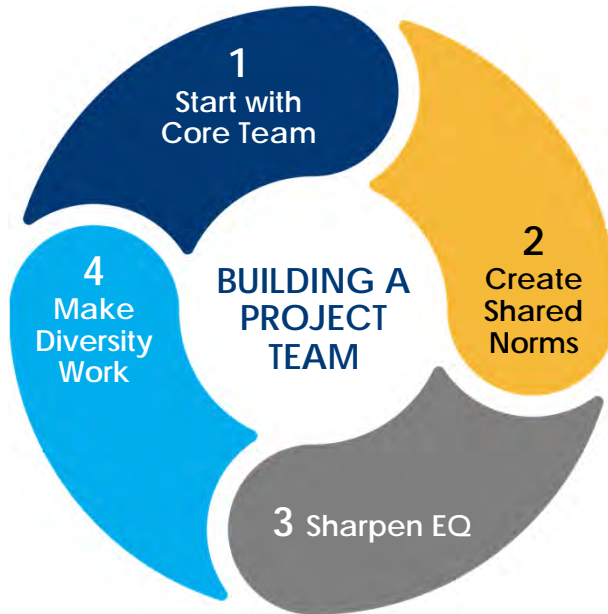


Conduct the initial stakeholder analysis early and update it often as the project evolves with emphasis on two groups: stakeholders and team members.

Begin by identifying the spectrum of possible stakeholders the project affects. Probe with the following questions:

- Who are we doing this for?
- Who really wants to see this happen?
- Who might be opposed?
- Who else is affected?
- Whose support or assistance do we need to execute the project?
- What resources do we need and who controls them?

Managing Projects for INL



The heart and soul of every project concerns people—their relationships, skills, and ability to work as a team.

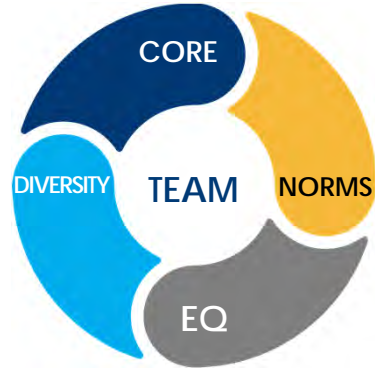
Questions to ask as you build the team.

- What technical skills are needed to get the job done and who has them?
- What other skills or perspectives are needed and who has them?
- Who should be included for political reasons?
- Whose involvement would give the project greater credibility and visibility?
- Who has more access to information and other resources?
- For each potential person, what is his or her record or reputation as a team player?

Managing Projects for INL

Create shared norms for high performance

- Shared norms and guiding principles are crucial
- Team chemistry can make or break a project
- Create the right expectations from the start



Norms are a standard or pattern, especially of social behavior, that is typical or expected of a team. In projects, explicitly define and agree on a set of norms to guide how the team works. In terms for teamwork, norms are agreed-upon definitions of productive behaviors that should be considered usual.

Having a clear set of norms for a team project can build trust among members by making sure everyone feels he or she will be heard.

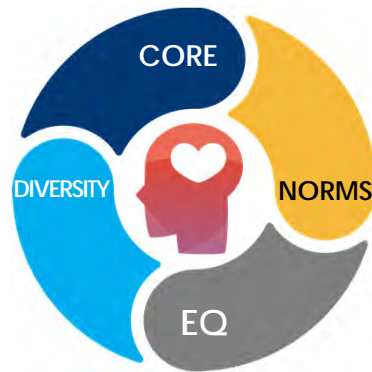
Examples of norms

- When we disagree, we attack the issue and not the person.
- We respect and support each other.
- We acknowledge good ideas and creative contributions from all.
- We all do our job and deliver products on time.
- We begin each meeting by defining expectations and outcomes and by reviewing decisions and action items.
- We self-monitor to make sure we are all contributing value.

Managing Projects for INL

Sharpen your emotional intelligence (EQ)

- High self-awareness
- Mood management
- Self-motivation
- Interpersonal expertise



Emotional intelligence refers to the capacity to be aware of, control, and express one's emotions and to handle interpersonal relationships judiciously and empathetically.

Emotional intelligence includes at least three skills—the ability to:

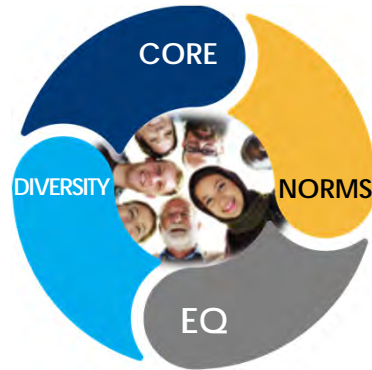
- Identify and name one's own emotions
- Harness those emotions and apply them to tasks like brain storming and problem solving
- Manage emotions, which includes regulating one's own emotions and helping others do the same

A person with high emotional intelligence is highly conscious of his or her own emotional states—even negativity—frustration, sadness, or something more subtle—and be able to identify and manage them. These individuals are especially tuned in to the emotions of others. A high emotionally intelligent individual makes a good leader.

Managing Projects for INL

Make diversity work

- Variety of perspectives
- Increased creativity
- Higher innovation rate
- Faster problem solving
- Better decision-making results
- Higher employee engagement
- Happier workplace and lower turnover rates



Diversity in the workplace:

- Ensures a variety of different perspectives. Diversity in the workplace means that employees have different characteristics and backgrounds; they are also more likely to have a variety of different skills and experiences, which lead to different perspectives.
- Provides increased creativity. Exposure to a variety of different perspectives and views leads to higher creativity.
- Leads to higher innovation rate. Employees from different backgrounds bring diverse solutions to the table. More possible solutions lead to faster problem-solving and better decision-making.
- Leads to higher employee engagement. When employees feel included, they are more engaged.
- Causes all employees to feel accepted and valued. When employees feel accepted and valued, they are happier in their workplace and stay longer with a company.



Leading People & Teams

This module explains how a leader’s style, competencies, and core impact the ability to lead. It offers strategies for identifying leadership styles and for cultivating skills and tactics to become a stronger leader.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Describe the three dimensions of a leader
- Determine the influence of leadership styles
- Explain the conditions that foster team effectiveness
- Determine your leadership strengths


Topics

- Dimensions of a leader
- Leadership styles
- Leadership and team effectiveness
- Taking the extra step

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.


Estimated Time: 3 hours

Leading People & Teams



A leader you remember

- What made the leader memorable?
- Is the memory good or bad? Explain.
- What impact did this leader have on your work? Your life?



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3

When people hear that someone has an impressive title or an assigned leadership position, they assume that individual to be a leader. Sometimes, that is true; other times, it is not. Titles do not make a leader. True leadership cannot be awarded, appointed, or assigned. It comes from influence, which cannot be mandated; it must be earned. The good news is being a good leader can be learned.

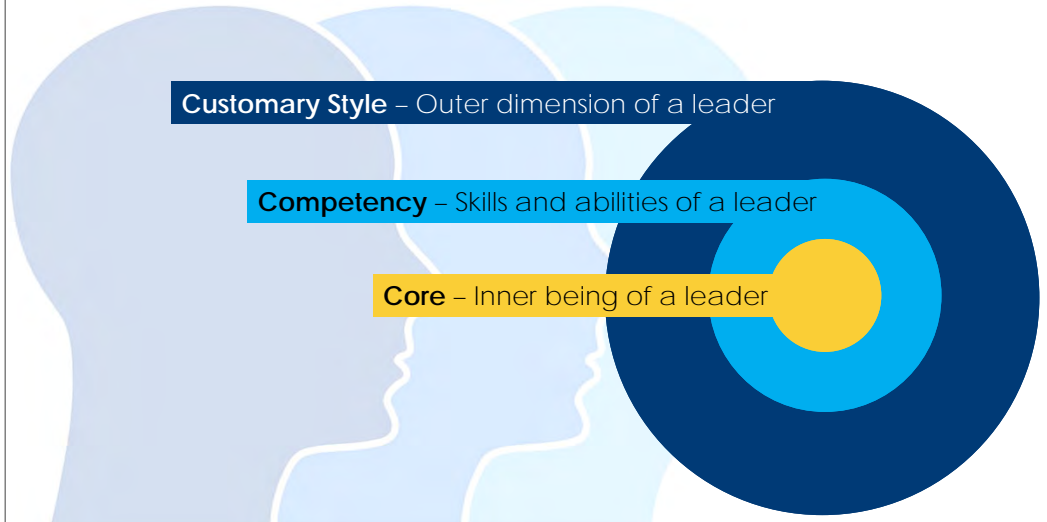
Whether you're looking at the citizens of ancient Greece or of modern-day Egypt or any other place in the world, and whether you are looking at leaders in the international community or the businesspeople of today's global economy, leadership **principles** are enduring. Styles may change, but principles do not.

Leadership is about inspiring and influencing people to follow. Forbes identified the following characteristics of 1,000 **inspiring** leaders:

- **Visionary:** Providing a clear picture of the future and being able to communicate it
- **Enhancing:** Creating positive relationships and connecting emotionally with people
- **Driver:** Being accountable
- **Principled:** Being a powerful role model by doing the right things the right way
- **Enthusiast:** Exuding passion and energy
- **Expert:** Providing a strong direction

Leading People & Teams

Dimensions of a Leader



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4

Customary Style—those observable patterns that consistently characterize us. Our style determines how well others receive us and our ideas.

Competency—our skills, abilities, and knowledge behind effective actions. Our competencies determine what we are able to do.

Core—our inner person—the leader inside us. Our core determines who we are—our character.

Style and competent actions play a pivotal role in our effectiveness as a leader, but our core plays an even more impactful role. A strong core guides us toward extraordinary influence of others and provides us an enduring legacy.

Leading People & Teams

Customary Style – Outer dimension of a leader

Our leadership style determines how others receive us and our ideas



Doer: Uses focused action to accomplish tasks



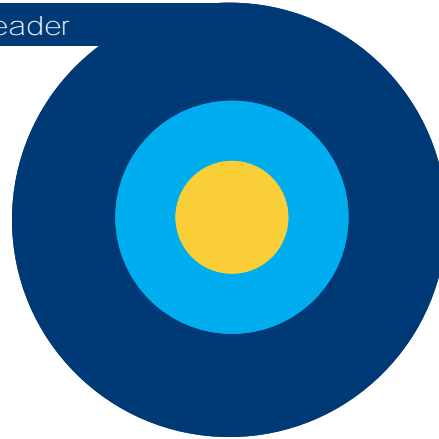
Advocate: Uses consideration of those most affected by decisions and inclusion of major stakeholders



Idealist: Uses inspiring values and ideas to guide strategic initiatives



Challenger: Uses a challenging style to overcome barriers and achieve innovation and excellence



Style is how we come across to others. Style facilitates receptivity—it helps others be receptive or non-receptive to our recommendations.

Style also envelops abilities and skills—our competencies—and substantially determines the effectiveness of those competencies. For example, seriousness and introspectiveness may be interpreted as aloofness and unfriendliness. Both diminish how receptive others are toward us and, more importantly, our ideas.

Self-awareness helps us leverage our positive attributes and mitigate those characteristics that potentially compromise our effectiveness.

Leading People & Teams

Core

- Our true being
- Integrity
- Courage
- Humility
- Judgment
- Authenticity
- Self-regulation
- Wisdom
- Candor
- Resilience



Core – Inner being of a leader

Our core learns, forms opinions, and serves as the chief repository of our beliefs. As a leader, we must form our beliefs thoughtfully and intentionally.

When our beliefs are sound and true, they lead to effective leadership. When they are misguided, and we act on the misguided beliefs, the results can be disastrous.

Leading People & Teams

Leadership and communicating

- Be a good listener
- Master the art of communication in all its forms—speaking, writing, and virtual
- Be confident in ability to deliver a message face-to-face, over a conference or video call, email, or messaging
- Pay attention to the delivery and the reception of the message
- Project confidence and have faith in ability to get the team from point A to point B
- Be secure—admit when you don't know something



Effective communication occurs when the message is perceived and responded to in the manner the sender intended. Miscommunication occurs from poorly chosen words, flawed timing, a confused mixture of verbal and nonverbal signals, poor listening skills, and a failure to consider cultural differences.

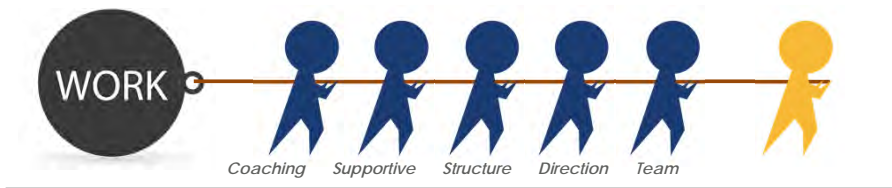
The most important communication skill of a leader is being a good listener. Listening allows a leader to evaluate a situation from another perspective, empathize with others, and understand different points of view. It gives a leader time to reflect on what is being said and formulate a productive response.

Active listening can be described as an attitude that leads to shared understanding. Active listening involves both proactive and reactive behaviors.

Leading People & Teams

Conditions that foster team effectiveness

- Real team
- Compelling direction
- Enabling team structure
- Supportive organizational context
- Expert team coaching



The likelihood of team effectiveness is increased when a team (1) is a real team rather than a team in name only, (2) has a compelling direction for its work, (3) has an enabling structure that facilitates rather than impedes teamwork, (4) operates within a supportive organizational context, and (5) has expert coaching.

Teams perform poorly when leaders focus on the wrong things in designing and supporting them. The leader's main task is to get a team established on a good trajectory and then make small adjustments along the way to help members succeed, not to try to manage continuously team behavior.

Leading People & Teams

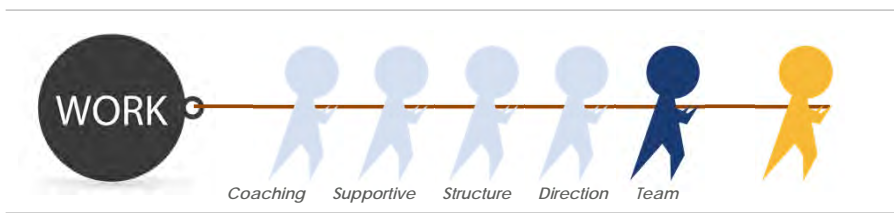
Real teams

The first and most important task of the leader is to ensure these four essential features are in place

- 1. Team task
- 2. Clear boundaries
- 3. Specified authority to manage work processes
- 4. Membership stability over some reasonable time

“Of all the things I’ve done, the most vital is coordinating those who work with me and aiming their efforts at a certain goal.”

– Walt Disney



Creating real work teams means making sure the task is appropriate for teamwork and requires members to work together interdependently. It means providing the team with substantial but clearly defined authority for managing its work. And it means ensuring the team will be reasonably stable over time as members carry out their work.

When the team is formed, leaders must specify how much authority the team initially will have and make sure that members understand clearly what decisions are and are not theirs to make.

Teams with stable membership perform better than those that continuously have to deal with the arrival of new members and departures of old one. Members develop familiarity with one another, their collective work, and the work setting so they are able to focus on working together. They develop a shared mental model of the performance situation, one that with time and experience is more integrative than the individual models with which they began.

Leading People & Teams

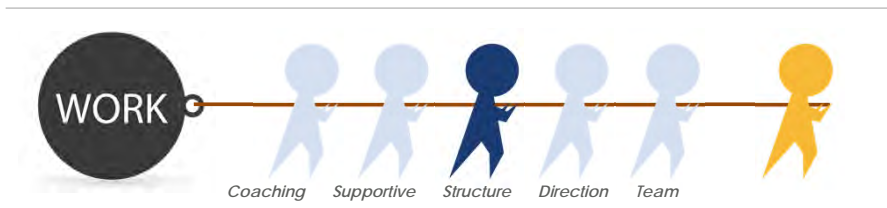
Enabling team structure

- Design of work to be performed by the team
- Core norms of conduct that guide team behavior
- Composition of the team



“ The leader finds the dream and then the people; the people find the leader and then the dream. ”

- John Maxwell



The best structure provides team members a solid platform on which to work collectively but leaves room to develop their way of operating. Rather than establish upfront everything that may be needed for a team to perform its work, leaders focus on a few structural features that establish a basic frame and then give the team room to mold the frame to its circumstance.

Group norms specify behaviors that are acceptable and unacceptable. Behavior that is considered appropriate is reinforced; behavior that is not acceptable is sanctioned. A member's behavior can be shaped readily by the group.

One way to form norms is have each member bring to the group a set of well codified expectations about the kinds of behavior acceptable based on experiences. Other norms evolve gradually.

A well-composed team strikes a balance between having members who are too similar to one another and too different from one another. Members of an excessively homogeneous group may get along well but lack the full complement of resources to perform well. An excessively heterogeneous groups may have a rich diversity of talent and perspective but are too different in how they think and behave to achieve success.

Leading People & Teams

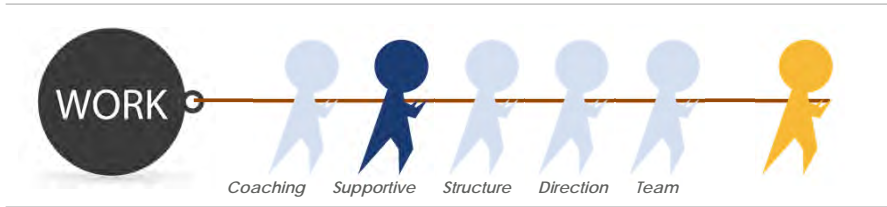
Supportive context

- Identify specific structures and systems critical to team effectiveness
- Ensure that these resources are readily available and in working condition



“ Leaders understand that activity is not necessarily accomplishment. ”

- John Maxwell



The leader’s responsibility is to identify supportive structures and systems that are most critical to team effectiveness and worthy of focused attention and possible intervention.

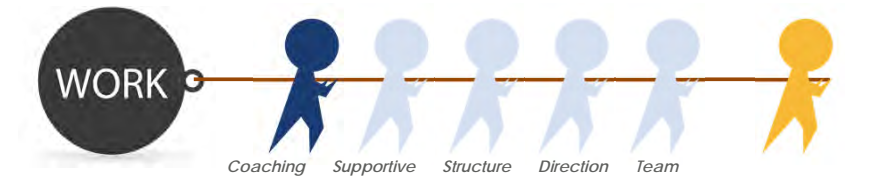
How much money, time, space, equipment, and staff are available? What are the limits on the team’s discretion in tapping into those resources? What information systems, if any, are needed? What technical help is available if needed? What training? What kind of support can the team expect from other managers/support staff, etc.

The education system of an organization should make training and technical assistance available to work teams for any aspects of the work in which they are not sufficiently knowledgeable or skilled.

Leading People & Teams

Expert coaching

- Coaching is about building teamwork—it's not about doing the team's work
- Coaching examples
 - Lead a kickoff meeting before the work begins
 - Ask a team reflective questions about a decision



Coaching can address any aspect of team interaction that is hindering the members' ability to work well together or that shows promise of strengthening team functioning:

- Coaching that addresses effort is motivational—its purpose is to build shared commitment to the group and its work.
- Coaching that addresses performance strategy is consultative—its purpose is to minimize reliance on habitual routes and foster ways that are especially aligned with the task.
- Coaching that addresses skill is educational—its purpose is to foster the development of members' knowledge and skills.

Good coaches should always focus on the team's task performance processes and not on team members' interpersonal relationships.

Coaching can be done by different coaches at different times. The important issue is having competent coaching available to a team.

Leading People & Teams

Taking the extra step

- Affirmation is the best way to influence those we lead
 - Affirming style and competence are the ground level, daily, transactional initiatives we use to do our jobs
 - Affirming someone’s core is reaching deeper, transformational, and overarching

“The true measure of leadership is influence—nothing more, nothing less.”

— John Maxwell



Our competencies make a huge impact on our success in work and in life. Praising the competence of anyone we want to lead is tremendously important.

However, when we affirm qualities of character—our core—we are much more likely to bring out the best in the person we want to influence—we provide *words of life*.

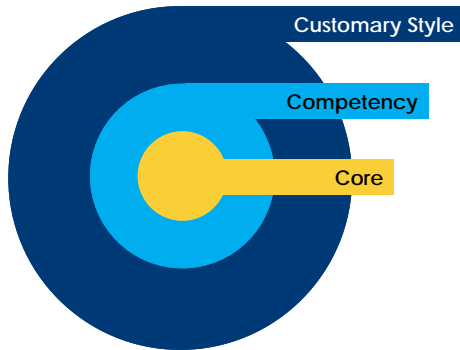
- Example: “Michaela, your **courage** and **resilience** are remarkable. Because you didn’t give up, we were able to accomplish the impossible—we convinced the mayor to try our solution. Thanks to you, the children have a better chance to go to school.”

Courage and resilience are part of our core. To give words of life, we must have an intact core ourselves. Words of life must originate from our own core. We must be authentic. Our affirmation must be true. Our words can build a stronger core in those we influence.

Leading People & Teams

Influencing underperformers

How do we bring out the best in members who are experiencing performance problems?



- Style issue
 - Likelihood of success is excellent to good
 - Coaching and mentoring
- Competency issue
 - Likelihood of success is good to modest
 - Developmental training
- Core issue
 - Likelihood of success is poor
 - Terminate the member from the team

The key to influencing underperformers is to find out the root cause of the low performance.

Leading People & Teams

Embracing diversity

- We are all products of our life experiences and upbringing, and we bring both into the workplace
- We all have unconscious beliefs about ourselves and others
- True diversity in the workplace requires changes in those unconscious attitudes



Our culture comes down to how we live in the world and how that may differ from another person’s way of being or doing things.

In all social and work settings, there are dominant and nondominant groups. Nondominant groups are historically underrepresented and may face subtle disadvantages in the work place, especially if the leader is more like the dominant group.

Diversity is not the problem of the diverse, nondominant groups nor the homogenous dominant groups in the workplace. It is the unconscious handling of diversity that creates the lack of fairness in an organization. Homogenous dominant groups are often surprised to hear observations from the nondominant groups because they assume if they think things are going well, the nondominant group does also.

A diverse organization requires more sophisticated leadership, conscious awareness, thought, behavior, and tools to reap the benefits of what true diversity can provide.

Leading People & Teams

Dealing with team conflict

- Conflict is a common occurrence on teams
- A leader must have a plan for helping the team move forward
- Recognize the two types of conflict
 - **Substantive conflicts** (or task): *Conflict over positions, strategies, or opinions*
 - **Emotional conflicts** (or relationship): *Mistrust or uneven communication*



Differences are inevitable when passionate people work together. Generally, two types of conflict exist:

- Conflict over positions, strategies, or opinions. If two or three strong, but differing, positions are being argued in the group, a leader might ask each member to take a turn talking with no interruption or debate. The other members of the team are to listen and try to understand the speaker's logic.
- Mistrust or uneven communication. Some people on the team are dominating the conversation while others sit silent or appear to have dropped out.

Leading People & Teams



Leading in post-conflict environments

- Our work environment can be stressful
- Our counterparts have experienced adversity amid change in their country
- Help the team feel a part of the positive change
- Keep them informed as you get new information

Advisors frequently go to countries that suffer from violence, economic breakdown, political paralysis, and corruption. Severe deprivation, abject poverty, and distrust among citizens and between them and political authorities are common. These conditions are amplified in post-conflict environments where normal development processes are overwhelmed by the need to bring about change after violent conflicts.

These conditions impact the people you lead—it is their country and their countrymen who are facing these problems. Leaders can help the people they lead by making them feel a part of the positive change.

Inform them of important details, deadlines, and objectives as you get new information that you can share. Keeping the team informed will alleviate some of their worries and empower their cooperation in the days, weeks, and months to come.

Reiterate to the group that you are available to assist in any way you can and encourage them to share their worries. Set aside a time for questions as you're explaining the change; ask, "Is there anything I can do to help you?" to demonstrate your commitment to helping the transition go as smoothly as possible.

Leading People & Teams

Share your stories

Dealing with team conflict



Leading the team in post-conflict environments



When leading people and teams in countries that have experienced conflict because large sections of the populace have been excluded and marginalized, applying best practices in leadership is even more critical. Leaders must facilitate an atmosphere of respect of differences and develop a culture of impartiality, openness, fairness, and inclusion.



Serving as an Advisor

This module provides you with advising strategies that support building the local capacity.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Identify the purpose and role of an advisor
- Discuss the steps required for capacity building
- Discuss the competencies and attributes of an effective advisor
- Examine ways in which to establish an effective working relationship with counterparts

Topics

- Capacity building
- Supporting local ownership
- Sustainability
- Doing no harm
- Establishing positive behavior
- Strategies for success

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

Estimated Time: 3 hours

Serving as an Advisor



What Is capacity building?

The process through which individuals, organizations, and societies obtain, strengthen, and maintain the capabilities to set and achieve their own development objectives over time.



For an activity to meet the level of capacity building, it must produce transformation that is sustained over time from within. Transformation of this kind goes beyond performing tasks—it is about changing mindsets and attitudes.

Capacity is developed in three ways: in an enabling environment, in organizations, and within individuals.

- The enabling environment includes the rules, laws, policies, power relations, and social norms that govern civic engagement. The enabling environment sets the overall scope for capacity development.
- The organizational level is the internal structure, policies, and procedures that determine an organization's effectiveness. The organizational level is where the benefits of the enabling environment are put into action and a group of individuals come together. The better resourced and aligned these elements are, the greater the potential for growing capacity.
- At the individual level are the skills, experience, and knowledge that allow a person to perform. Access to resources and experiences that can develop individual capacity is largely shaped by the organizational and environmental factors, which are, in turn, influenced by the degree of capacity development at the individual level.

Serving as an Advisor

Capacity development and sustainability

- Using existing local knowledge, structures, and processes
- Considering, incorporating, and building upon local customs and resources
- Aiming for best fit over best practices—recognizing that one size does not fit all



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Listed below is the new approach to building capacity:

- Empowering and strengthening existing capabilities, including people, skills, technologies, and institutions
- Creating sustainable change
- Taking an inclusive approach in addressing issues of power inequality in relations between rich and poor and mainstream and marginalized (countries, groups, and individuals)
- Emphasizing deep, lasting transformations through policy and institutional reforms

Serving as an Advisor

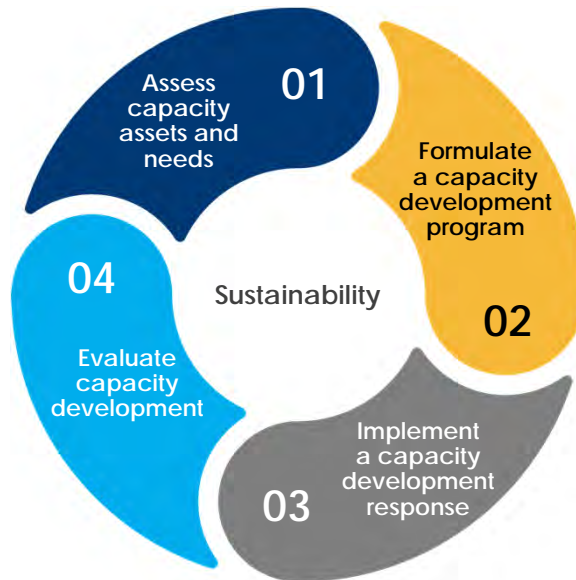
Support local ownership by engaging stakeholders

- Ownership is best achieved when local methods of consultation and decision-making are used from the start
- The goal is to get everyone committed and personally invested in the success of the initiative



The first guiding principle is supporting local ownership. Capacity development begins with people talking and listening to one another, so the first step is to have a dialogue between those who stand to benefit from the increased capacity. The goal is to get everyone committed and personally invested in the success of the process. This is what is meant by local ownership.

Serving as an Advisor



Step 1: Assess capacity

This step establishes the baseline by identifying existing capacity assets as well as the desired level of capacity anticipated to achieve INL's objective.

Step 2: Formulate a capacity development program

A good capacity development program builds on existing capacity assets to address the gaps identified in Step 1. Most stakeholders prefer to build upon their strengths—what they are doing right—to do other things better. The program should be designed to contain a combination of quick-impact initiatives (less than one-year) and short-to-medium term initiatives (one year or longer).

Step 3: Implement a capacity development response

Here, the thinking, planning, assessing, and designing are tested in the real world. To encourage shareholders to feel a strong sense of ownership, the response should be built around strengthening procedures and systems that are already in place. The response should also include an exit strategy that allows advisors to hand over management of the project to counterparts.

Step 4: Evaluate capacity development

Measuring capacity development success must focus on changes in performance, which can be measured in terms of improved efficiency and effectiveness.

Serving as an Advisor

Doing no harm

Provide support that promotes:

- Inclusive political process
- State legitimacy
- Constructive state-society relations
- Social expectations that push states to do more, but not substantially more than states could reasonably accomplish
- Development of sustainable capacities to carry out state functions

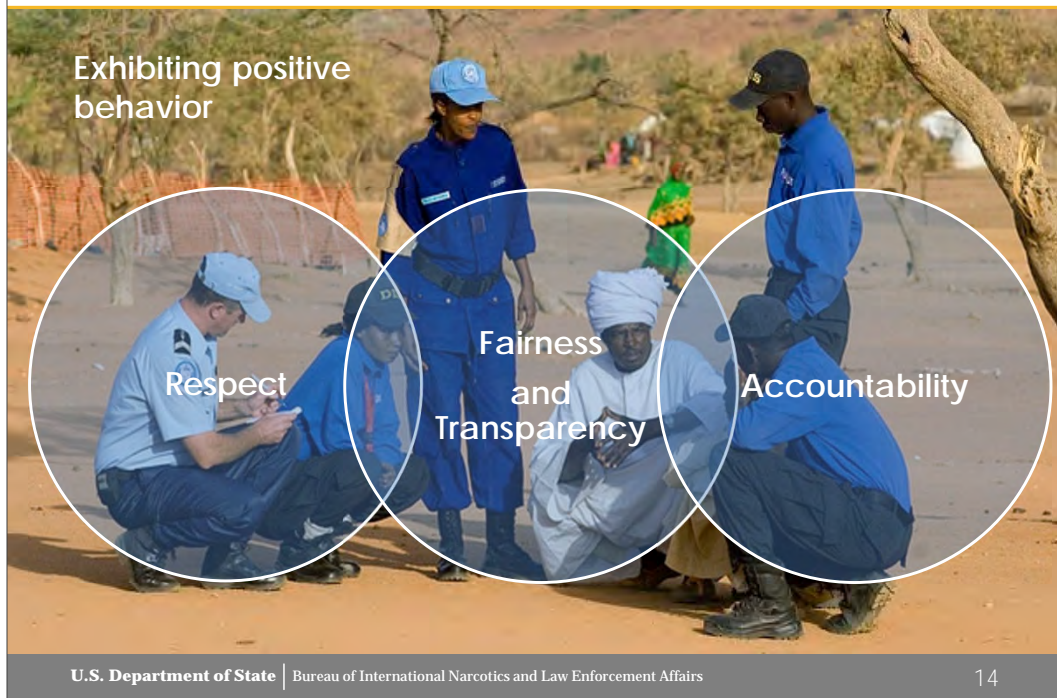


Advisors and international assistance programs can inadvertently do harm when the resources they provide or the reforms they support weaken rather than strengthen the state or exacerbate rather than mitigate violent conflict.

Outside assistance can disrupt the political settlement that underpins the state if the history and power dynamics of that state are not understood.

A state's legitimacy is the acceptance within society that the organizations and institutions that make up the state have the right to rule. The sources of legitimacy differ among different groups within a society.

Serving as an Advisor



How we interact with partners, counterparts, beneficiaries, and others has a definite impact on the success of a program.

Positive behaviors build trust, relationships, and effective programming, and negative behaviors destroy them.

Principle	Negative Behavior	Positive Behavior
Respect	<ul style="list-style-type: none"> • Anger • Competition • Suspicion • Indifference 	<ul style="list-style-type: none"> • Calmness • Collaboration • Trust • Sensitivity to local concerns
Accountability	<ul style="list-style-type: none"> • Ignore concerns and questions • Allow corruption • Use power or force 	<ul style="list-style-type: none"> • Listen and investigate • Take action against corruption • Negotiate and engage in partnership
Fairness	<ul style="list-style-type: none"> • Value/respond to specific groups 	<ul style="list-style-type: none"> • Value/respond to needs equitably

Serving as an Advisor

Learning about the counterpart's institution

- History, culture, politics, and economics of the country
- Organizational structure of the ministry within which the advisor will work
- Other parties involved in the effort
- Nature and scope of plans to develop the ministry
- Ability of the ministry to deliver services to the population
- Failures and successes of previous efforts
- Threats to security and reform



Once advisors are in the field, they must make individual assessments based on their expertise, including the challenges inherent in a complex mission.

Advisors are required to understand the organization of the local government and how their activities fit into the overall scheme. Understanding the existing dynamics and the limitations imposed on the host country also helps manage expectations.

The intricate histories and modus operandi of institutions make identifying impediments to reform difficult for any outsider. However, the more advisors understand about the host country, including cultural norms and practices, the better their abilities are to assess the situation accurately, build relationships, and identify viable avenues to reform.

Serving as an Advisor

Establishing rapport and facilitating dialogue

- Advisors must establish sound professional relationships with their counterparts
- From the first day, advisors should show they are reliable and do everything they say they will do



From the first meeting with a counterpart, advisors should demonstrate sensitivity to the local context and express empathy and support for the difficult task of reform. Advisors should introduce themselves and the expertise they bring.

Advisors should show their interest in learning about the counterpart’s institution and the issues it is facing. Emphasize to the counterpart that the authority to implement change rests with him or her and that the advisor is there to share ideas and expertise that may be helpful.

Once rapport has been established, the advisor should promote a dialogue to arrive at a joint understanding of the problems they will solve as a team. The advisor should encourage the counterpart to describe the problems as he or she sees them. The counterpart may not be comfortable enough initially to talk about weaknesses and vulnerabilities of the institution.

Advisors should let their counterpart do most of the talking. Advisors may stimulate solutions by brainstorming on possible ways for the institution to move forward in a way that respects the realities the counterpart faces. But the idea for solving the problem should come from the counterpart so that he or she owns it.

Serving as an Advisor

Communicating across cultures

- Language is the advisor's main tool
- Being able to convey your message and be understood is a prerequisite for success



Effective communication occurs when the message is perceived and responded to in the manner the sender intended. Ineffective communication occurs from poorly chosen words, flawed timing, a confused mixture of verbal and nonverbal signals, poor listening skills, and a failure to consider cultural differences.

Effective communication with interpreters and language assistants can also be difficult, but they are critical to the success of your mission. Not only do they serve as language facilitators, but they also can be cultural brokers.

If advisors choose to communicate in their counterpart's language, they must be fluent in the language and confident in their linguistic ability to convey highly technical terms and concepts. Even if the advisor and counterpart share the same language, the advisor must ensure that they understand the meaning of the term in the same way. If advisors do not speak their counterpart's language, they may wish to learn a few phrases to establish rapport and show respect. Also, knowing key technical terms in the counterpart's language may be useful to check for accuracy of interpretation.

Serving as an Advisor

Building trust

- Acknowledge that both you and your counterpart have technical expertise and knowledge to offer one another
- Solicit your counterpart’s advice and knowledge on the local culture and the operating environment
- Talk less, listen more, and ask questions



Trust grows gradually from understanding and respect. Building trust needs to begin on day one; it builds one interaction at a time; it will not mature until later in the relationship.

Steps toward building understanding and respect include:

- Say what you are going to do and then do what you say
- Communicate—frequent, honest communication builds trust
- Always do the right thing—we trust those who live and work with integrity
- Build rapport—develop relationships with cooperation, harmony, and affinity



Travel Health & Safety

This module provides you with techniques for dealing with health hazards and basic emergency medical treatment.

Learning Objectives

Upon successful completion of this module, you should be able to:

- Identify best practices for safe travel, personal hygiene, food safety, and ways to reduce the risk of disease infection
- Describe the preparation required for a natural disaster
- Identify principal concerns and common tools for providing basic life support

Topics

- Travel and personal preparation
- Outdoor and natural disaster safety
- Security threats to U.S. citizens
- Dealing with traumatic injuries

Review the learning goal and objectives for this module and note any additional topics you would like covered. If a topic is not covered, you will have opportunities to ask questions during the module.

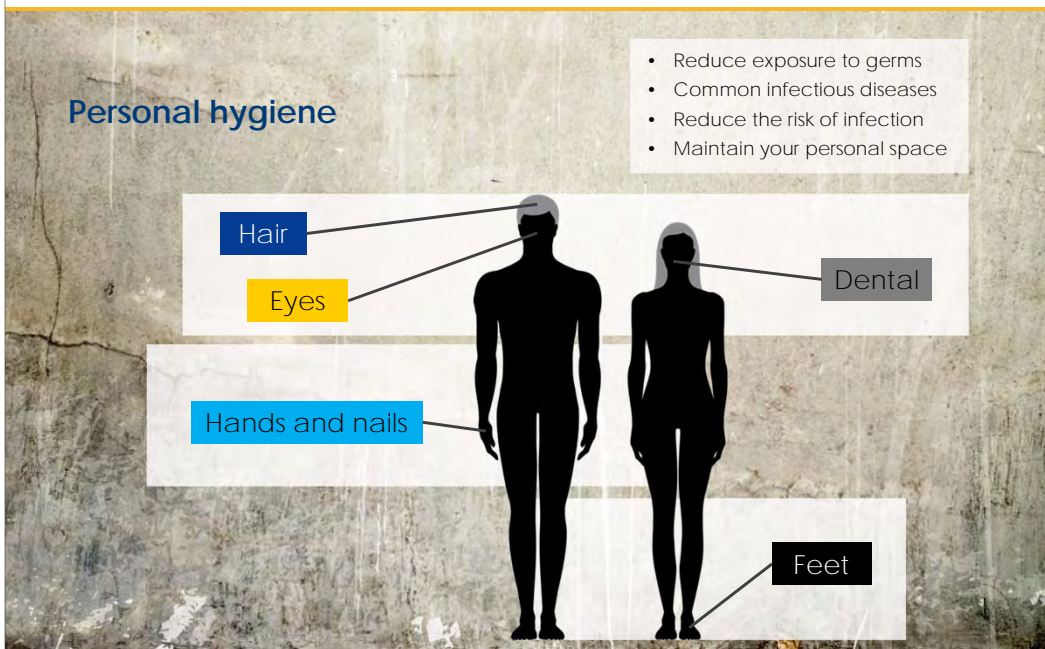
Estimated Time: 1 Day

NOTE: Guidelines discussed in the presentation should not replace common sense and experience.

Travel Health & Safety

Personal hygiene

- Reduce exposure to germs
- Common infectious diseases
- Reduce the risk of infection
- Maintain your personal space



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In some surroundings and situations, it might not be possible to keep the standard of hygiene you might be used to at home. However, the following points help prevent infection and contribute to your general health and well being.

- **Your body:** A daily warm bath or shower is essential for personal health and hygiene, as is the wearing of clean underwear. Consider taking freeze-dried probiotics to help boost your immune system.
- **Hair care:** Hair should be kept clean, worn away from the face, and not allowed to hang over the collar of protective clothing.
- **Dental care:** Keep your teeth clean, healthy, and brushed at least twice a day. Consider using bottled water when brushing your teeth. In some countries, using tap water can make you sick.
- **Hands and nails:** Hands and nails should be washed and cleaned thoroughly after visiting the toilet and before handling any food. No person who has sores, cuts, or broken skin on his or her hands should handle food.
- **Foot care:** Keep feet clean and dry, and do not go barefoot outdoors or indoors to prevent fungal and parasitic infections. Beaches are a high risk where there is likely to be animal waste. Wear clean, comfortable, closed shoes with closed heels with sufficient room for the toes and good arch support. Wear clean socks or stockings.

Travel Health & Safety

Food and water safety

- Cooked food
- Fruits and vegetables
- Avoid ice cubes and ice cream
- Bottled or sterilized water



Cook it.
Peel it.
Or leave it.

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Eating unclean food or drinking unclean water can make you sick with travelers' diarrhea and other diseases. You are at risk if you travel internationally, especially to developing countries.

Contaminated water is the second most common reason people fall ill during their assignment. Keep in mind that you may need to disinfect your own water and carry nonperishable foods for emergency use.

If you follow some basic rules before consuming foods or liquids, you could eliminate the main reasons many fall ill on an assignment. These rules apply to street food vendors as well as expensive hotel restaurants.

- Make sure your food has been thoroughly and recently cooked and is still hot when served.** Cooked food that has been kept at room temperature or under the sun for several hours is a source of food-borne illness.
- Remember the dictum: Cook it, peel it, or leave it.** Avoid any uncooked food apart from fruit and vegetables that can be peeled or shelled. Avoid fruit with damaged skin.
- Avoid ice.** Ice cubes and ice cream from unreliable sources are frequently contaminated and may cause illness.
- Be cautious of fish.** Certain species of fish and shellfish may contain poisonous biotoxins, even if they are well cooked. If unsure, avoid them.
- Treat water.** When the safety of drinking water is doubtful, have it boiled (several times) or disinfected with reliable disinfectant tablets/liquid.
- Check that packaged beverages are properly sealed before purchasing.** Beverages, such as hot tea or coffee, wine, beer, and soft drinks or fruit juices, that are either bottled or packaged are usually safe to drink. Unpasteurized milk should be boiled before consumption.
- Purchase bottled water and use whenever possible** – even for brushing teeth.

Travel Health & Safety

Outdoor safety

- Insect bites
- Sun & heat
- Bodies of water
- Animals



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Insect Bites

Prevent mosquito and other bug bites by using insect repellent (with DEET or picaridin) on uncovered skin when outdoors, especially during the day.

Know when peak biting times occur, such as:

- Seasonal consideration
- Day vs. night
- Indoors vs. outdoors
- Rural vs. urban

Cover up! Wear long-sleeved shirts and long pants when outdoors at night in malaria-risk areas. Your clothing may also be sprayed with repellent containing permethrin or another EPA-registered repellent for greater protection. (Remember: don't use permethrin on skin.) If you can, stay in hotels or resorts that are well screened or air conditioned.

Sun & Heat

Use sunscreen with both UVA and UVB protection (with SPF 15 or higher).

- Stay in the shade, especially during midday hours (10 am to 4 pm)
- Wear clothing to protect exposed skin
- Wear a hat with a wide brim to shade the face, head, ears, and neck
- Wear sunglasses that block both UVA and UVB rays
- Drink plenty of fluids

Bodies of Water

Avoid contact with bodies of water in rural and urban areas including fresh water (lakes, rivers, streams) where infections such as schistosomiasis and leptospirosis are spread by contact. These microbes can penetrate your skin, so swallowing water isn't necessary to cause infection. Use caution when swimming and do so only in chlorinated pools – do not swim in freshwater or where sanitation is poor.

Animals

Avoid animal bites by not handling or petting animals, especially dogs and cats. If you are bitten or scratched, wash the wound immediately with soap and water and seek medical attention to determine if medication or anti-rabies vaccine is needed.

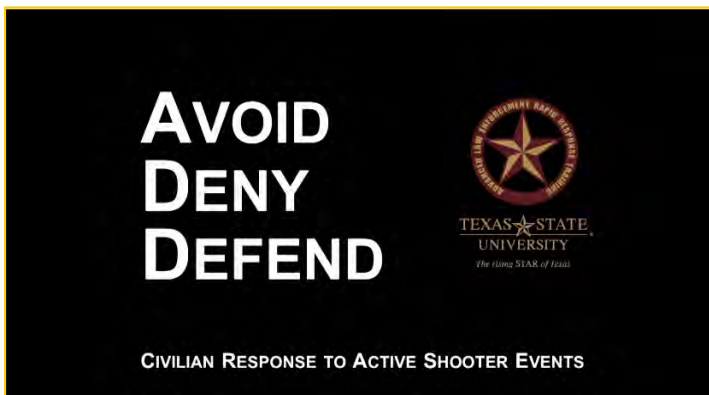
Travel Health & Safety

Threat awareness

- Active shootings



- IED threats
- Secondary devices



There are many security threats a U.S. citizen may face during an international assignment. In this section, we will discuss the major threats and what you should do if you encounter them.

Active Shooter

An active shooter is an individual actively engaged in killing or attempting to kill people in a confined and populated area. Active shooter incidents are usually unpredictable, last only 10 to 15 minutes, and are carried out by a single attacker using multiple firearms. Active shooters are often members of the community they target, although their selection of victims does not follow any specific pattern or method.

Improvised Explosive Device (IED)

IEDs are essentially homemade. The term covers a range of devices that are made up of metal fragments and explosives. IEDs are often made of and look like an article of daily use – a small box, a bag, or a parcel – and can be triggered either through contact or by remote detonation.

YOU SHOULD NOT ATTEMPT TO MOVE, HANDLE, APPROACH, OR DISARM A CONFIRMED OR SUSPECTED IED; THIS IS A JOB FOR SPECIALLY TRAINED PERSONNEL.

Travel Health & Safety

Travel alerts and warnings

- Country-specific information
- Emergency and security messages
- Resources
 - Travel.State.gov
 - USEmbassy.gov



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Staying current on alerts and warnings for your host country is essential for staying safe. The State Department and U.S. embassies maintain up-to-date information to help you gauge your risks and take necessary precautions. You can find country-specific information on the following sites:

- www.Travel.State.gov
- www.USEmbassy.gov

Country-Specific Information: Know the current situation of your host country and review current events, country reports, risk ratings, city guides, etc.

Emergency and security messages: Check for emergency and security messages on a regular basis to stay informed of alerts, warnings, evacuation notices, etc.

Travel Health & Safety

Emergency first aid

- Traumatic injury types
 - Cardiac and respiratory
 - Bleeding and soft tissue
 - Head, neck, and spinal column
 - Muscle and bones
 - Shock
 - Heat and cold exposures
- Assess and treat injuries
 - First aid: ABCDE
 - Cardiac arrest: CAB



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In a conflict area where danger is high and resources are limited, administering first aid can mean the difference between life and death. Statistics indicate that medical attention during the first two hours is critical for the survival or recovery of a casualty. A few simple yet decisive actions taken by first responders may positively decide the fate of the injured persons.

It is important to develop your self-confidence, self-reliance, and resourcefulness since statistically most first aid work will be done by an individual working alone and will occur in a place where there is no immediate medical support.

Assessing and Treating Injuries

When assessing an injury, decide the appropriate treatment following the ABCDE approach, except in the case of cardiac arrest.*

- **Airways:** Is the airway open and unobstructed?
- **Breathing:** Is breathing sufficient?
- **Circulation:** Is circulation sufficient?
- **Disability:** What is the level of consciousness?
- **Exposure:** Are there any clues to explain the patient's condition?

*Note that in cases of cardiac arrest, using the ABCDE assessment method is NOT appropriate. If an individual is not breathing, unconscious, and in cardiac arrest,

CPR should be attempted following the CAB approach: Compressions, Airway, Breathing.

Remember, in cases of cardiac arrest, something done is better than nothing at all. If you are reluctant to make physical contact with a victim, chest compressions alone will be sufficient to aid circulation during a cardiac arrest.