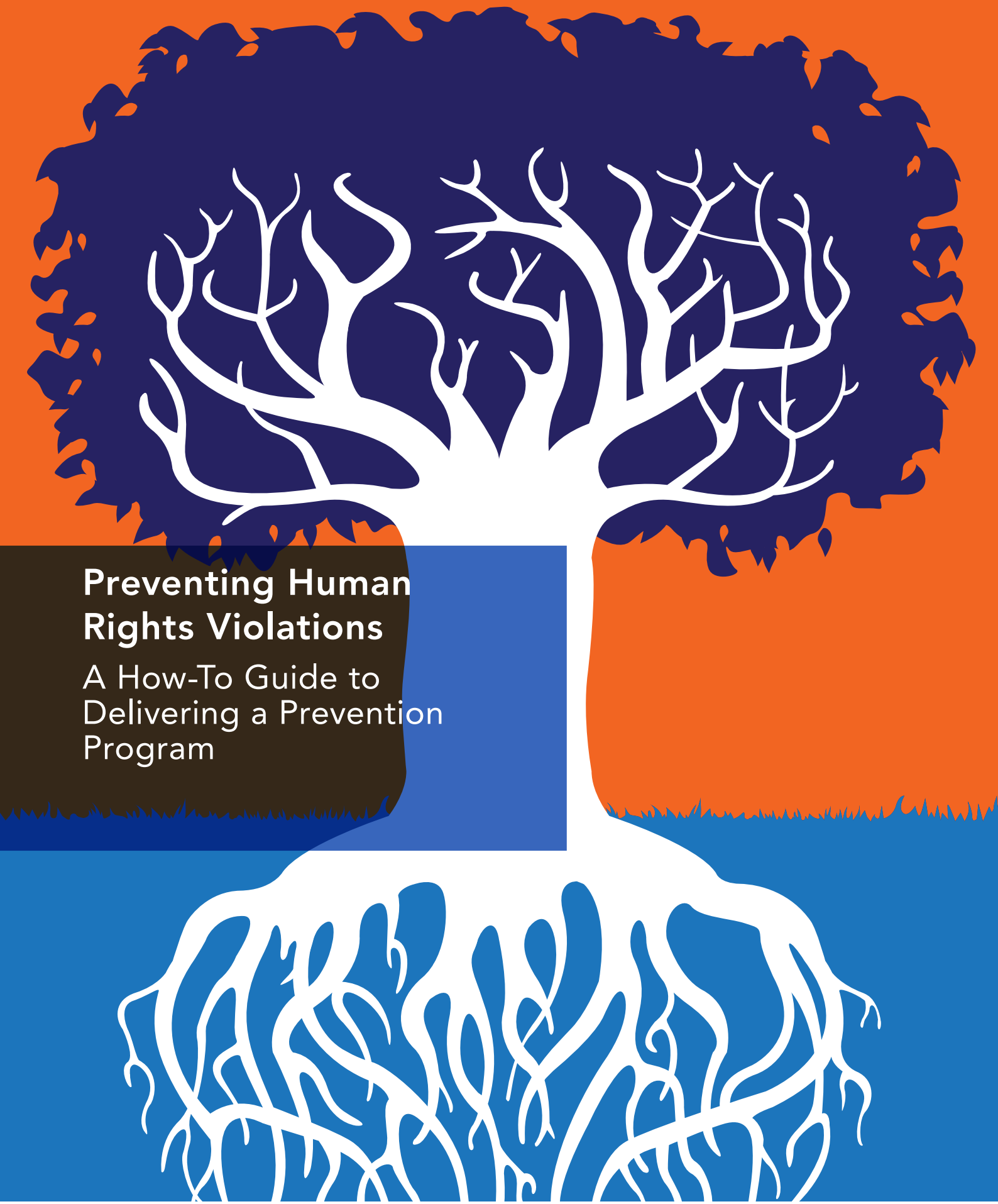

Preventing Human Rights Violations

A How-To Guide to Delivering a Prevention Program

ENHANCING HUMAN RIGHTS PROTECTIONS
IN THE SECURITY SECTOR IN THE ASIA PACIFIC

THE UNIVERSITY OF SYDNEY

This document was authored in 2015 by Professor Danielle Celermajer, University of Sydney and Dr Astrid Birgden for the project Enhancing Human Rights Protections in the Security Sector in the Asia Pacific. This project was run in partnership with the Centre for the Study of Human Rights at the University of Colombo and the Kathmandu School of Law. It may not be produced, in whole or part, without the explicit permission of the author. Anna Noonan is acknowledged for her contribution to this EHRP publication.

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GLOSSARY OF TERMS

Activities: The key activities to be carried out, including the sequence in which they will be carried out that will produce each one of your expected results.

Associates: The organisations in which the problem you are seeking to prevent is occurring and who are cooperating on the overall Program.

Change agents: Selected persons within the organisation where the problem exists who are partners in bringing about change.

Ecological Model: A model that explains the causes of a problem by locating that problem within a broader environment where causal factors operate at different levels.

Enhancing Human Rights Protections in the Security Sector in the Asia Pacific (EHRP): The project that was the basis of this prevention model and is used to illustrate different activities and processes.

Expected Results: The results that would tell you whether you had achieved your specific objective/s.

Experts: Persons with specialised expertise in the field in which you are working who provide advice and/or conduct research.

External Advisory Committee: A group of high-level people who provide overall guidance and advice to the project Director.

Intervention: A term designating the actions taken as part of a program to bring about change.

Logical Framework or Logframe: A tool that sets out, in a series of logically linked steps, how you understand the links between the actions you plan to take, the results you hope to produce and how these results then contribute to the overall objective that you hope to achieve.

Logframe Matrix: A tool for mapping your logframe.

Manual: A practical guide for how to carry out a program and set of activities.

*Means of Verification (MoV*s): The actual sources of information for the OVIs

Multi-Systemic Framework: See Ecological Model

Objectively Verifiable Indicators (OVIs): The indicators that tell you if the objective and results have been achieved and if the activities have been undertaken.

Overall Objective: The overarching high level goal to which the program will contribute but will not itself be directly achieved.

Partners: The organisations that are involved in running the overall Program

Problem: The violation or issue that is identified as what you are seeking to prevent.

Program: The overall prevention action, including all stages.

Project: The specific projects that the change agents design and carry out to reduce risks and strengthen inhibiting factors.

Project team: The core team at al sites responsible for running the overall Program.

Reference Group: A body of stakeholders established to provide feedback on the different stages of the program and ensure its relevance and feasibility in particular contexts.

Results-Based Approach: A program approach that devises and organises program activities according to their contribution to intermediate outcomes that then produce long-term impacts

Roadmap: A map that sets out the action that need to be taken in sequential order.

Specific Objectives: The objectives that the Program is intended to achieve that in turn contribute to the overall objective.

Stakeholders: All persons and organisations that have an interest in and/or are effected by the problem and the prevention of the problem.

Steering Committee: The principal governance body that is responsible for overseeing major decisions. It should include representatives of all partners.

System: A set of things working together as parts of an interconnecting network. In this Manual the system refers to the organisational environment in which a problem exists and that sustains it.

Systemic factors: the different practices, processes, beliefs, actions and so on within the system that cause or sustain the problem.

Toolkit: A group of tools that can be used to support the program activities.

Theory of Change: A Theory that explains the problem or the causes of problem and explains how one believes that the actions proposed will bring about change or solve the problem.

Violations: Those behaviours that contravene a human right or human rights or other standards held to be morally or legally binding in the given community or state.

INTRODUCTION AND WELCOME

It is now almost three quarters of a century since the United Nations General Assembly adopted the Universal Declaration of Human Rights, and thereby inaugurated the modern human rights system. Since that first commitment by the (then recognised) nation-states of the world to protect and promote human rights, we have seen an exponential growth in the laws, institutions and investment of work, thought and money towards achieving that goal.

This 'human rights system' has no doubt achieved considerable changes in the place that human rights occupy in international and domestic law and politics. It has also contributed to the development of international, regional and domestic systems of governance and social relations in which the rights of those who might otherwise have been marginalised, persecuted and subjugated are recognised and respected, at least to some extent. And yet we cannot deny that the systematic violation of the full range of human rights – civil, political, economic, social and cultural – persists. Moreover, many of the strategies that human rights proponents have developed and employed with the aim of inhibiting or curtailing abuses have failed to make inroads, particularly in the contexts where the violations are the worst. Factors such as civil conflict, poorly developed institutional structures and entrenched cultures of discrimination or violence present fierce impediments to the effectiveness of the standard toolkits of legal reform and human rights education.

If we take a closer look at some of the most pervasive and serious harms that come within the ambit of human rights (including systematic discrimination, sexual violence and torture) something of a paradox becomes apparent. Through a human rights lens we would classify such harms as 'violations', or aberrations from what we hold to be the regulative norms. Often, however, from within the world where those harms are occurring, they are embedded in regularised institutionalised practices and structures and as such, are normalised. For example, one can see this in contexts where violence against, or unequal treatment of, women or members of minority groups forms part of the day-to-day operation of formal and informal institutions and as such occurs as a matter of course. One can also often see it in the violent and abusive practices of security agencies or other institutions with extensive power over those within their ambit, such as institutions for people with disabilities, mental illnesses or the aged. From the outside, the practices seem aberrant, but from the inside of the organisation, they may in fact have become normalised, routinised and entrenched.

To effectively address and prevent human rights violations given these realities, we need to be willing to rethink our strategies and experiment with alternative approaches. Rather than just conceiving of violations as discrete aberrant actions or even patterns of aberrant action, we will need to discover the institutional and cultural structures and processes that support and normalise violations. Moreover, we will need to devise strategies that will alter those processes and structures so that they no longer normalise, support and facilitate violations. This Manual provides a basic framework or infrastructure for those seeking to understand and address human rights violations by examining and transforming the contexts where they are thus embedded and entrenched. It is not intended to replace other prevention strategies, such as legal reform or human rights education. Rather, it is intended to broaden the lens of our understanding of the different factors that keep violations in place and from here to open a range of options for strategic interventions across the different types of causal or sustaining factors.

BACKGROUND

The approach presented here was developed as part of a program aiming to discover and test new and effective strategies for preventing torture and other forms of cruel, inhuman and degrading treatment and punishment (hereafter referred to as torture) in police and military contexts. This project, named the *Enhancing Human Rights Protections in the Security Sector in the Asia Pacific* (EHRP) was a three-year undertaking run in partnership by the University of Sydney, University of Colombo and the Kathmandu School of Law.

In the course of our research for this project, we made what we regard as illuminating discoveries about human rights violations and the prospects of preventing them:

First, our research told us that the '**causes'** of human rights violations are to be found at a number of **levels** – including the level of the **individuals** who commit, encourage or tolerate violations, the level of the **organisations** in which violations occur, the level of the **culture** within which those organisations operate, the level of **law** and **legal institutions** that **incentivise** and **deter** certain types of behaviour and the level of **politics** and **ideology** that **organise power** and **meaning**. Moreover, the factors that operate at those different levels interact. Indeed, even speaking about 'causes' is something of a misnomer. Human rights violations cannot simply be understood as the result of direct 'causes'; they are rather the outcome of a complex system that includes certain types of permissive environments, incentive structures, **normalising** beliefs and practices and processes that create opportunities for violations to occur and persist. We discuss this finding in greater detail in the next section on our conceptual framework.

Second, we discovered that the most effective **prevention strategies** are ones that understand and address these various systemic factors. That is, if a particular human rights violation is embedded in certain standardised organisational practices, normalised by certain beliefs about the way things ought to be done and held in place by certain incentive structures, then preventing that violation requires changing those organisational practices, transforming norms about acceptable behaviour and reorganising incentive structures.

Third, our research indicated that in bringing about **changes** to different aspects of the **system**, it is critical to work with **stakeholders** who are themselves part of those systems. So, for example, if some of the key **causal factors** lie within the organisations where the violations are taking place, and the strategy is to transform those organisational factors, personnel from within the organisations need to be engaged as agents of change. Similarly, if what is required is transformation of cultural norms, then people from the communities in which those norms are circulating need to be involved in the change process - and involved not as objects of the intervention, but as agents who have an active role in designing and motivating it. Certainly outsiders can assist, and indeed the involvement of those outside the system is likely to be a critical ingredient of change. But without change being driven from the inside, by those who understand how things work and will be there after the outsiders leave, change will at best be superficial and short term.

These discoveries form the conceptual framework for the prevention approach that is presented here. In simple terms it comprises three basic propositions:

1. To prevent a violation one needs to understand the various **systemic factors** that **legitimate**, **authorise**, **permit**, **create opportunities** for, **incentivise**, **motivate** and **normalise** it.
2. Once those systemic factors are understood, one needs to **design interventions** that alter critical parts of the system that sustains the violation. If, for example, the causal analysis indicates that the structures and processes of the organisation in which the violations are taking place provide incentives for personnel within the organisation to commit violations, those incentive structures need to be altered. Similarly, if the analysis indicates that the organisation is operating within a society that tolerates or even encourages the violation, then it is those cultural norms that need to be challenged and addressed through the prevention strategy.

Most likely, because causality is occurring at multiple levels, the best strategy will address factors at various levels. The specific nature of those interventions will depend on the particularities of how the system operates. It will also depend on which factors can (feasibly) and should (strategically) be targeted. In all cases, the basic approach is one of seeking to alter the system in a way that minimises risk or contributing factors and strengthens inhibiting factors.

3. In addressing these risks and inhibiting factors, **stakeholders** from within the particular level or sphere, the organisation, the society, the legal system or the political system, need to be **enrolled** and **engaged** as agents of change.

This conceptual framework is perhaps most simply conveyed through the following linked propositions:

- Persistent violations are the outcome of the **operation of a system** and you need to understand how the different aspects of this system work to produce the violation.
- Preventing the violations then requires **intervening strategically** in the system to shift its components and dynamic so that it no longer produces the violation.
- Certain identified actors or **change agents** within the system can intervene effectively and strategically to bring about those shifts.
- Change agents can do so most effectively if they have certain **knowledge**, **attitudes**, **skills**, **resources** and **leadership capacities**.
- **Prevention projects** can best facilitate the development of these capacities by providing change agents with certain structures, knowledge, skills and resources.

These propositions form what we might call the **theory of change** approach to prevention. A **theory of change** describes, on the one hand, how one understands the problem or the causes of problem, and on the other hand, how one believes that the actions proposed will bring about change or solve the problem. In other words, it explains the basis on which one would believe that doing A, B and C would bring about changes to situation X. Evaluations of effective prevention strategies consistently indicate that having a sound and empirically grounded **theory of change** is critical to success. This general **theory of change** provides the foundation of the approach presented here. At the same time, insofar as the process we present requires that one conduct research on the particular violation being addressed in the situation where it is being addressed, the flesh on the bones of the theory will only be filled out as you commence the process. Thus for example, the theory refers to the different aspects of the system that produce the violation, but you will only find out what those are through conducting primary research at the site of the problem.

This Manual provides a toolkit for prevention projects based on a **theory of change**. It is intended for NGOs, government agencies, international organisations, or organisations that are themselves seeking to address a range of violations that are embedded in a set of multi-systemic factors. We note here that although the approach grew out of a project specifically focused on torture in police and military contexts, this Manual is not limited to this set of violations or this setting. Rather, we imagine that it will be applicable to a range of violations such as domestic violence, racism or other forms of discrimination in schools or other institutions, and abusive treatment of people with disabilities. In adapting the approach to different contexts and seeking to employ it for different violations, we anticipate and indeed hope that those taking it up will evolve and expand prevention projects. Indeed, it will only be through trying it out, piloting an intervention that your derive from it and evaluating the effectiveness of such interventions that this approach will reach its potential in effectively addressing systematic and entrenched violations.

THIS MANUAL

In the course of our own project, we examined numerous manuals for human rights training for security organisations. Overwhelmingly, we found that they were not so much manuals at all, but rather information banks. That is, they generally set out, in considerable detail, the laws and standards that police or military organisations ought to observe and the violations that they would be committing if they did not. They were, however, fairly thin on practical guidance on how the people to whom they were directed could get from where they were to where they ought to be. Think of an instruction manual for a car. We would expect it to say something like: “When the car won’t start, you would try the following well-tested approaches: A, B and C.” If it simply said something like “Car owners should keep their engines according to factory standards” (i.e. what they should do in the abstract) or “this is how car mechanics have developed their rules” (the history of fixing cars), such instructions are of little use.

Partly inspired by this lack of practical guidance, this Manual is intended to provide hands-on guidance on how to develop a prevention project on the basis of our model and our **theory of change**. The Manual takes potential users through a series of steps, and at each step provides an illustration of what this might look like by describing what we did in our project, Enhancing Human Rights Protections in the Security Sector in the Asia Pacific. We very much look forward to learning how others will take it up and evolve it, with a view to our collectively developing capacities to make good on the promise of 1948.

We also provide a series of tools that are intended to assist you in a very practical way to develop your prevention project. These are set out at the end of the Manual as a series of ‘tools’ intended to provide you with a toolkit for practically implementing your prevention project.

This Manual and the Toolkit contain a great deal of detail and involve a large number of stages and processes. To make it easier to navigate, in the next pages we provide a user’s guide.

HOW TO USE THIS MANUAL

WHAT IS IN THIS MANUAL?

This Manual contains the theory, information, practical guidance and tools that you will need to set up and carry out a prevention program to address a problem or human rights violation that you organisation is working on.

- Chapter 1, **The Framework,** provides a description of the approach that the Prevention Program takes. This section will give you a *conceptual understanding* of what the approach is and why this type of approach could be effective. It will explain how this prevention approach differs from other approaches. It will also explain how this approach seeks to address the *systemic or structural factors* that cause violations rather than simply targeting the problematic behavior itself.
- Chapter 2, **A Roadmap for your Prevention Program** explains how you get started in designing a Prevention Program. This chapter will be particularly useful when you are developing an overall program design for your organisation. It is particularly aimed at people in project management positions. It will also be helpful if you are writing a grant application to fund your Prevention Program. It provides some project planning tools and explains how the different parts of the overall program fit together to achieve your overall objective of preventing or contributing to the prevention of the problem you are targeting.
- Chapter 3 sets out the practical steps of actually **implementing your Prevention Program**. We have divided this into three parts. Part 1 lays out a set of steps to **create the architecture of your program.** This includes guiding your to select the partners you are going to work with, hire your team and establish your governance structure. Part 2 sets out the steps that you need to take to **conduct the research** that will guide you actual intervention. Part 3 then takes you through the different **stages of the actual intervention** when you will be working in the organisation where you are seeking to effect change. Here we describe how you choose the people who will be leading the change projects and the process of working with them so that they can develop their own change projects. The design and content of workshops and some of the tools you can use in your workshops are described here.

The final part of this Manual is a ‘toolkit’ containing a number of **tools that will assist you in the practical business of developing and implementing** your prevention program. They include resources for the workshops you will conduct and tools that your change agents will be using.

HOW DO I GET STARTED AND HOW DO THE DIFFERENT PARTS OF THE MANUAL FIT TOGETHER?

The Manual has been set out in the order that you would follow in actually developing and implementing a Prevention Program.

Below is a visual representation of the different parts of the Manual and how they relate to each other.

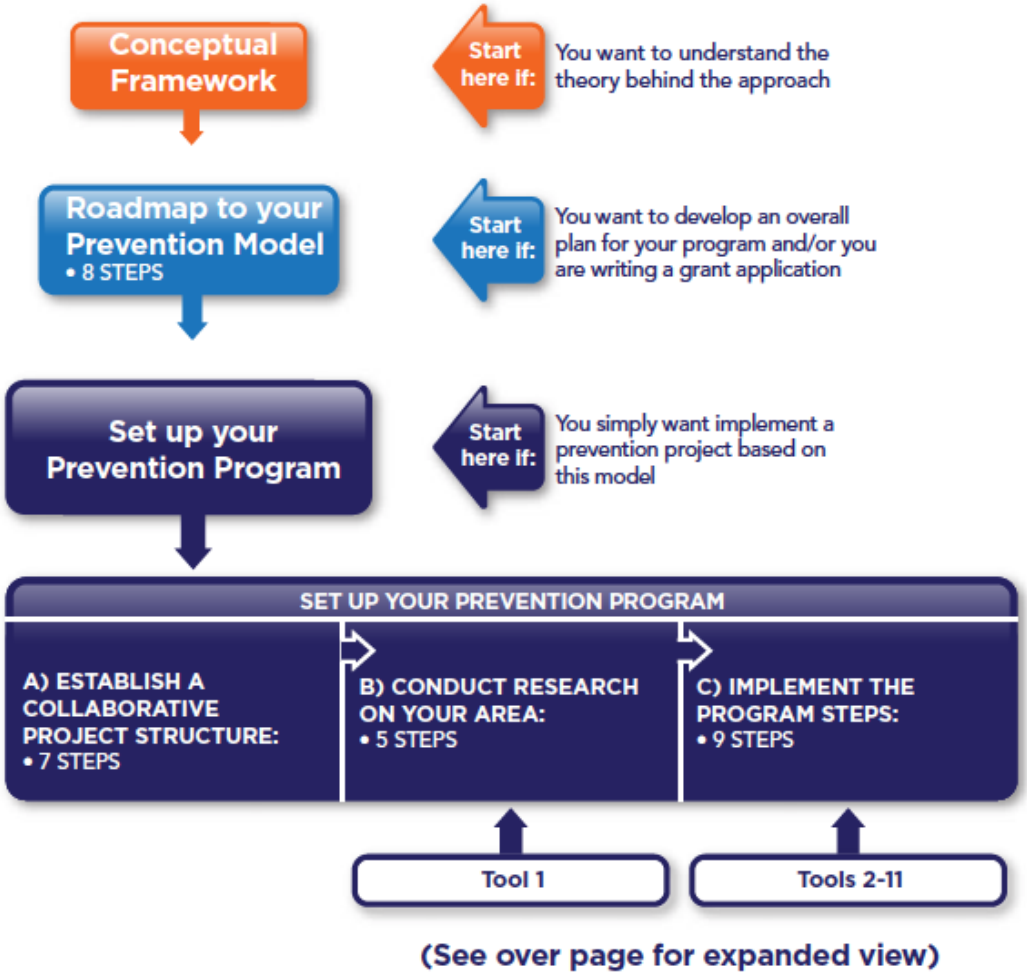

Figure 1: This Manual Visually Represented

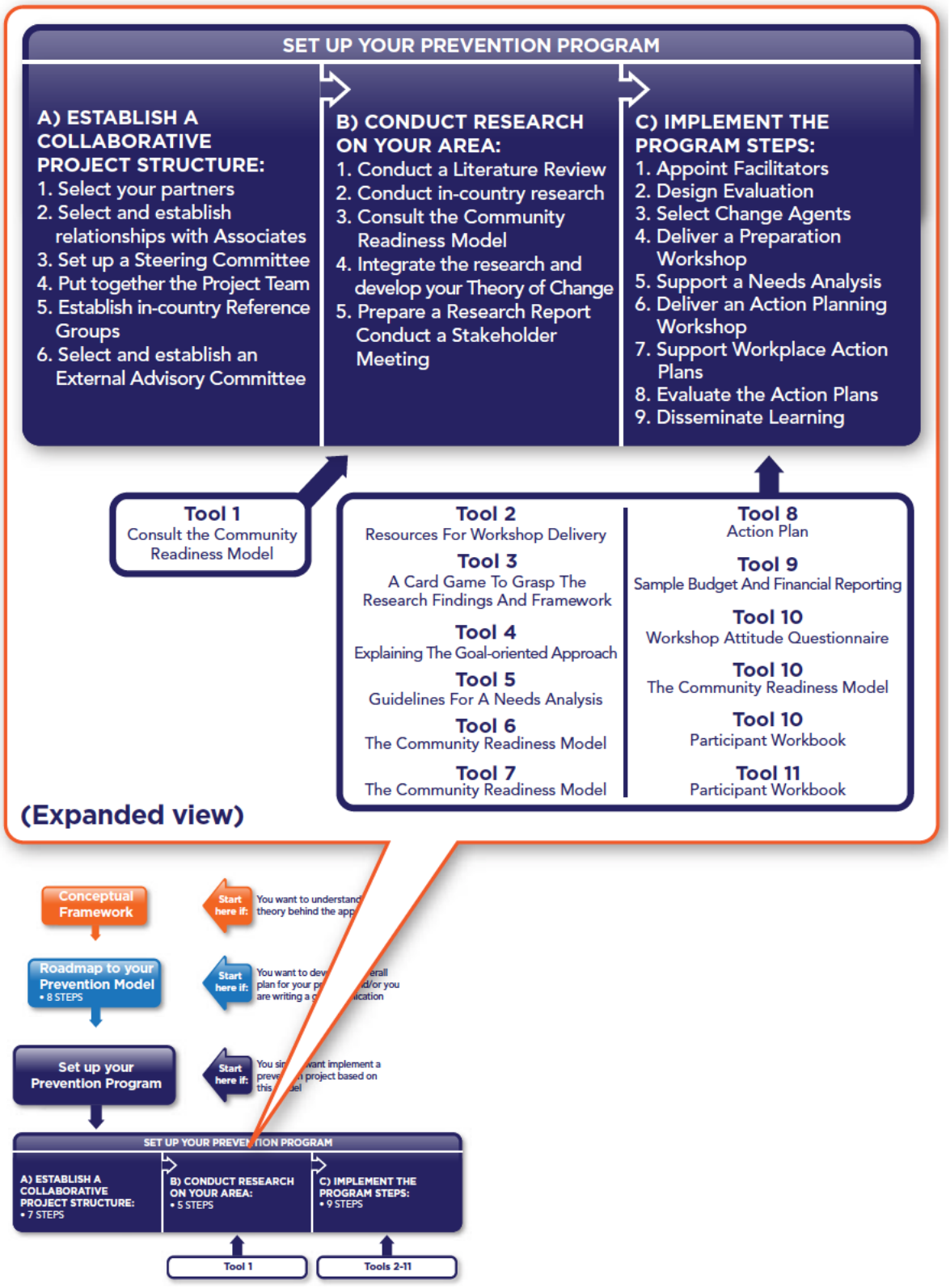

Figure 2: This Manual Visually Represented (Explanded View)

TIPS! WHAT ARE THE MOST IMPORTANT THINGS I NEED TO KNOW?

This Manual seeks to be as comprehensive as possible. It provides you with a step-by-step guide for establishing your Prevention Program and various tools you can use. Of course in practice, you can expect the unexpected! In our experience, there are a few important parts of this process that it will be particularly important to keep in mind.

- **Be very clear about the problem or violation you want to address.** Make sure that this is made explicit when you set your overall and specific objectives.
- **Choose your partners carefully**. Make sure that all of your partners understand and support the particular approach that you are taking and that they are fully on board with the approach before you begin. Keep checking in with all partners.
- **When you choose the Associates, find out how the leaders of those organisations see the problem or the violation.** It is critical that the leaders of the organisations you are working with agree that the problem *is* a problem that they want to solve and that the violation *is* a violation that they are committed to preventing. Their buy-in will be absolutely necessary to your Prevention Program's success.
- **Make sure that all members of the project team and the members of the various committees are clear about the approach and understand their roles**. Also make sure that there are clear lines of reporting and accountability. It is important that everyone knows what is expected of them. It is also important that it is clear who has the responsibility take action if something goes wrong or something is not done.
- **Work carefully with the Associates to choose the Change Agents.** Communicate clearly to the leadership of the Associate organisations that the quality of the change agents is critical to the success of the Prevention Program.
- **Dedicate sufficient time to the research phase and to conducting your empirical research in a careful and systematic manner.** There are often practical difficulties that impede research (bad weather, elections, delays in ethics approvals) and you need to build this into your timeline so that you are not cut short in conducting the research you need.
- **Allow some buffer time in the third stage of the process, '**Setting up your Prevention Program". At this point you are working with personnel from the Associate organisations and you can anticipate that there will be unanticipated 'distractions'. Including Change Agents having to meet other demands of their jobs, political instability and so on.
- **Make sure that your project team fully understands the project planning process that the Change Agents will be learning and undertaking.** Even if the members of the project team are not teaching the skills during the workshops, they will be the ones working with the change agents when they develop their projects, so they need to have a deep understanding of the processes and skills.
- **Think about language and translation/interpretation.** Particularly during the workshops, Change Agents will be more comfortable and more able to work with difficult material if they can speak and listen in their first language.
    - If your facilitators do not speak the language of your change agents, use good interpreters.
    - Make sure all of the material that the Change Agents will be using is translated into a language that they easily understand.
- **Ensure that the members of the project team are fully equipped and resourced**. This will provide plenty of hands-on support for the Change Agents when they are developing and delivering their projects.
- **Create a network between the change agents themselves.** They may be able to provide each other with support and ideas in a uniquely important way.

- **Ensure that the leadership of the Associate organisations support the Change Agents.** They need to understand what the Change Agents are doing and ensure the Change Agents know they have their support. Also ensure that this support comes down the line of command to the immediate supervises of the Change Agents.
- **Remember that this approach involves a real partnership for change between the project partners and the Associates.** In practical terms, this means that you have to stay open to the views and choices of the Associates including the Change Agents. When it comes to designing their projects, you need to be careful to strike the right balance between guiding them to focus on actual risk factors for the violation that you are targeting on the one hand and not telling them what to do on the other. This is a difficult balance and you may not always be able to get it right! Remember, one of the principles of this approach is that sustainable organisational change needs to be supported from the inside of organisations.
- **Don't sideline evaluation!** Create an evaluation plan for the entire program from the outset and keep coming back to it to see if it is still appropriate to what you are doing. Also make sure that the Change Agents create realistic and practical evaluation plans for their projects and that the evaluations take place.
- **Put good support systems in place for your project team**. Working on human rights violations can be very stressful at any time and working with organisations where violations occur can cause particular stresses. The health and well being of your team is vital.

CHAPTER 1: THE FRAMEWORK

In the Introduction, we referred to the systemic factors that cause (**normalise, facilitate, incentivise, permit** or **legitimate**) human rights violations as well as to the conceptual framework that underpins the prevention approach set out in this Manual. In this section, we explain this conceptual approach, why we adopted it and what it implies for a prevention program.

Before describing the conceptual framework itself, it may be useful to take a step back to look at how the research that we conducted in our initial prevention project led us to adopt this framework. As noted in the introduction, our objective was to conduct research that would provide the basis for a prevention program to address torture in the police and military. We were particularly interested in effective approaches to prevention of torture in contexts where there had been a history of its systematic use.

As part of our research, we conducted literature reviews in several disciplines, including sociology, social psychology, criminology and public health, with the objective of finding out what we know about the root causes of systematic and institutionalised violence. Across a number of disciplines, one key finding that consistently came through was that violence committed by individuals within institutional settings can only be properly understood by examining the situational or contextual factors within which the individual is located. Perhaps best known here are the Stanford prison experiment carried out by Phil Zimbardo (Zimbardo et al. 2000) and the electric shock experiments carried out by Stanley Milgram (Milgram 1974). In both of these, researchers took 'ordinary people' with no particular predisposition for violence and placed them in extraordinary situations to see how they would behave. What they found was that particular types of situational factors could overwhelm individual dispositions and pre-existing moral commitments, leading ordinary individuals to commit acts they would otherwise consider aberrant and wrong.

In the Zimbardo experiment, young men were recruited and placed in a mock prison, uniformed and given the roles of prisoners or guards. To the shock of the experimenters, merely placing these young men in uniform, in a mock prison and giving them basic instructions about their roles and identities was sufficient for them to quickly adopt the identities and some of the more extreme forms of behaviours associated with those roles. Guards, for example, adopted cruel and highly controlling behaviour, including destructive raids of cells, stripping prisoners naked, improvising random, humiliating and arbitrary forms of discipline and devising means for setting prisoners against each other. At different points of the experiment, prisoners displayed a range of extreme psychological reactions, including withdrawal, breaking down and adopting submissive and conformist behaviour. Recognising that the situation was getting out of hand and was taking on a life of its own, the experiment was ceased prematurely, but provided some critically important lessons in how the dynamics of obedience, conformity and role compliance in closed institutional settings operate.

In the Milgrim experiments, the subjects were told that an individual in the next room (who was actually an actor and part of the experiment) was trying to 'learn' a task and that their role was to assist in the learning. Subjects needed to give the learner an electric shock, of increasing intensity, when he or she got the answer wrong. The subject did not meet the 'learner' but was provided with information on how he or she was answering questions and was able to hear his or her responses to the shocks. The experimenters found that in response to gradually more authoritative commands, 65% of subjects were willing to raise the voltage to what they believed to be a dangerous 450-volt limit, despite the actor/learner's screams and pleas to quit the experiment. They also found that several factors significantly influenced the levels of obedience. These included: the characteristics of the authority figure giving the order (gender, whether he or she was wearing a white lab coat); the way in which the learner was described (in positive or negative terms, as difficult or eager to learn); how the task was described (as helping or punishing); and, whether the subject witnessed others complying or refusing to comply and similarly whether the subject witnessed disagreement amongst the authority figures.

Other experiments and empirical studies went further in exploring particular aspects of the findings of these two foundational pieces of research. In particular, researchers sought to develop a more nuanced and detailed understanding of the dynamics of obedience and conformity (Schachter 1959; Asch 1956; Janis 1971) as well as of the range and types of factors that led to what Robert J. Lifton (2004) called 'atrocity producing situations'. This body of work led to what we might call the 'situational hypothesis of violence'.

In our own empirical research, we sought similarly to understand how violent behaviours and torture come to be normalised and routinised in security organisations. Here, the social science literature consistently finds that such behaviours result from a combination of social processes and cultural norms that create patterned actions and structures conducive to violence (Manning 1997: 156). For example, one analyst argues that violence in policing settings is:

> "...Situationally determined by informal values and norms…not formal training or departmental regulations that supposedly structure and define its use." (Cancino 2001: 157)

When we came to examine the use of torture in particular settings, our research pointed to a range of factors that **facilitate**, **normalise**, **incentivise** and **create opportunities for** torture to occur. We found that there was no single 'reason' or logic for torture (for example to gain confessions) and that the causal or facilitating factors operate in different spheres or at different levels. That is, some of the factors that explain why a police officer or member of the military would use torture are related to the characteristics or disposition of that individual; some to the way the organisation where they work operates; some to the broader cultural values and expectations around the use of violence and the appropriate ways to treat different types of people; some factors lie in the legal system, some lie in the broader political and ideological context. Depending on the context, factors at any one of these levels may be particularly important or have a particularly powerful influence on how individual personnel behave.

It was on the basis of this research that we came to adopt the conceptual framework that underpins this prevention approach - known as a **multi-systemic** or an **ecological conceptual framework**. In simple terms, this framework explains the behaviours of individuals, including behaviours that we consider human rights violations, by linking them with causal factors that are located at a number of 'levels'. Levels here refers to different spheres of the social and political world, including the individual, the family, the peer group, the organisation, the culture, the legal system, the political system and the ideological context. When one adopts a multi-systemic conceptual approach, one does not simply explain a violation by looking at what is happening at one level, by for example examining the cultural values or the type of legal regulations that are in place. Rather, ecological or multi-systemic models recognise that there are different levels of influence or causation, that these different spheres of social life are interrelated and that we can only understand how individuals behave by examining interactions between those individuals and their environments as well as between different levels of the environment (Quadara and Wall 2012).

Urie Bronfenbrenner is credited with developing ecological systems theory, originally as a way of making sense of child development, by recognising the impact of all the aspects of human life on human development. His model also recognises that the spheres of social life interact. In practical terms, Bronfenbrenner tells us is that a person's behaviour is strongly influenced and shaped by his or her relationships and all levels of his or her social environment. Figure 3 shows his original model.

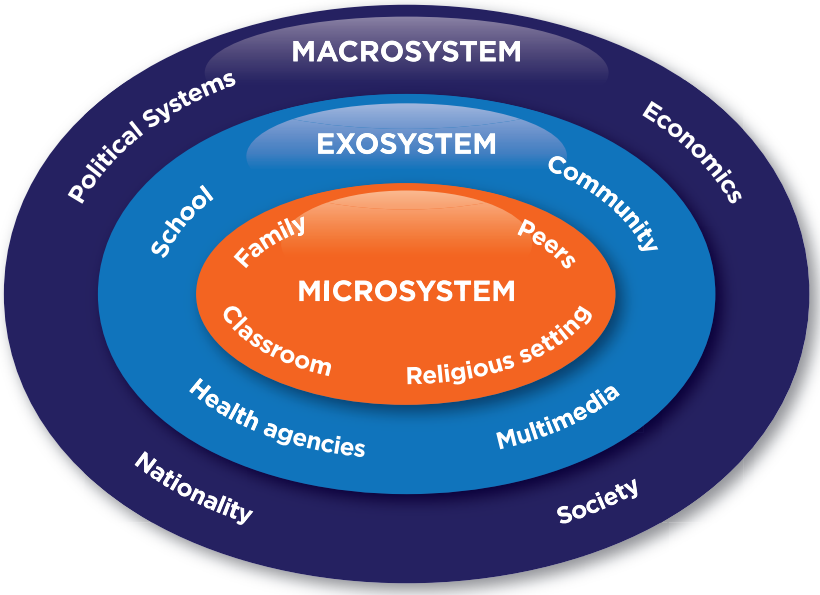

Figure 3: Bronfenbrenner's ecological systems model

One of the reasons that we adopted the ecological or multi-systemic model as our conceptual framework was that it is not only concerned with analysing or explaining the causes of behaviour; it has direct implications for how we go about changing behaviour or preventing behaviours that constitute human rights violations. That is, it follows from the way in which this framework analyses and explains behaviours that to change such behaviours, one needs to address the factors that operate at the different levels and that influence or shape behaviour at the individual level. These will include factors at the levels of peer group(s), the organisation in which the individual is working or operating, the culture and community norms, public policy, the law and legal institutions, the political system and the economy. Prevention strategies aimed at the individual (say in the form of training and education) or only one level of the system (say legal reform) will not be sufficient to address the multiplicity of causal factors or their interaction. In Figure 4 below, we illustrate how the basic ecological model might apply to the analysis of the use of torture in the security sector.

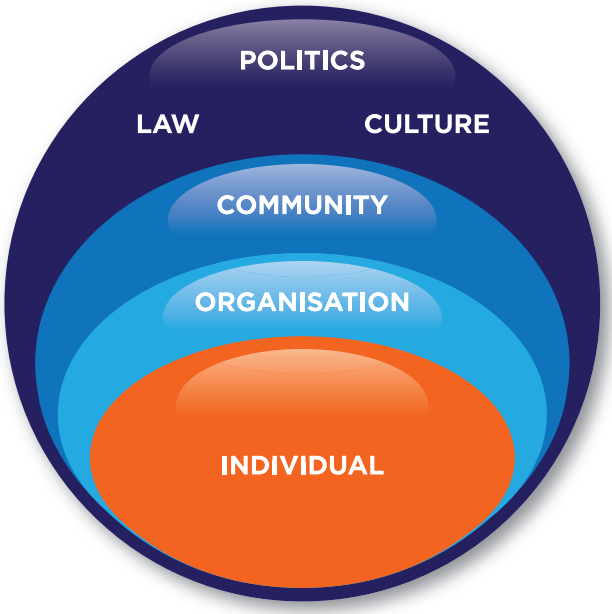

Figure 4: An ecological model for the security forces

Since Bronfenbrenner first applied this approach to child development, programs in various fields have developed multi-systemic approaches or social-ecological models of prevention. In the field of public health, for example, this is one of the most frequently and powerfully adopted conceptual approaches. Indeed, research on what makes a prevention program effective in the field of public health indicates that addressing factors at different levels of the system is critical to effectiveness (Nation et al. 2006).

To illustrate how this model explains a particular violation and the type of prevention approach it suggests, let us take the example of domestic family violence. To start with, the model notes that the factors that cause or sustain domestic family violence are located at a number of levels. These include the level of the individual (a history of family violence, poor internal resources for dealing with stress); the level of the family (unequal distribution of power); the level of the peer group (men go out drinking and make light of domestic family violence); and the level of law (weak laws to prevent and punish perpetrators). Further factors operate at the level of organisations (police personnel do not in practice enforce domestic family violence laws); some at the level of culture (violence against women has been generally acceptable for as long as we can remember); others at the level of ideology (a general view that men have a right to do what they wish in their homes); and finally, others at the level of politics (there is a lack of will amongst political parties and leaders to take action in relation to domestic family violence). Any one factor may actually fall into more than one category and the categories will themselves overlap. For example, the lack of political will to implement tough laws on domestic family violence and the lack of enforcement by police are both linked with general cultural norms around gender and violence.

The ecological or multi-systemic approach to prevention would then suggest that to effectively and sustainably prevent domestic family violence, interventions have to be developed to address factors at each of these levels. These interventions may include educational or support programs for individuals at risk (due to say histories of violence or alcohol abuse), community education and cultural change programs such as social marketing, legal reform to strengthen domestic violence laws, organisational change projects with police to alter the practices for taking complaints from victims, programs designed to strengthen women's economic independence and so on.

In contradistinction to the best practice multi-systemic or ecological conceptual approach, our analysis of existing prevention strategies indicated that interventions are not based on a sufficiently careful, detailed or multi-dimensional analysis of the problem they are trying to address. Interventions usually target the problem through a single dimension approach without recognising that it is sustained through a range of interacting and interdependent factors. Human rights trainings for groups at risk of perpetrating violations, for example, pay insufficient to the organisational, legal, cultural or political factors that may make it difficult for personnel put in practice the normative commitments that training encourages, or even to sustain them in their organisational context. Similarly, law reform approaches often pay insufficient attention to the cultural, political and organisational factors that will determine whether actors in actual settings apply and conform with legal rules. Moreover, as a number of researchers studying human rights interventions in the security sector have emphasised (Hills 2012; Jauregui 2010, 2011; Hornberger 2010, 2011; Jefferson, 2007; Jensen and Jefferson 2009) those coming from the Global North and designing interventions for the Global South frequently fail to pay sufficient attention to social and economic contextual factors.

As one researcher puts it:

> "Transnational policing, like reform projects more generally, ignores the nature and purpose of Police institutions in the South, downplays the underlying causes of insecurity, and assumes that international agents can manipulate political and social forces." (Hills 2009: 314-315)

If we were to faithfully follow the implications of the multi-systemic framework, we would have to insist that an ideal prevention strategy would operate at all causal levels. And in fact we know that the most effective prevention strategies do operate at several levels in a coordinated way (Nation et al. 2006). In designing this framework for developing a prevention program, however, we have taken into account the reality that any particular prevention program will be unlikely to have the resources or the access to operate at all levels. Accordingly, we have adopted this conceptual framework so that it provides a rich multi-systemic diagnosis but then allows that the actual intervention may operate at only one, strategically chosen level.

There are two other key aspects of the prevention approach presented here. First, we take the view that violations need to be understood and addressed within the particular context in which they occur. Thus, although there may be certain universal characteristics or explanations of violations that can be useful in understanding the types of dynamics or factors that should be examined and addressed, one should not assume that such universal analyses would accurately explain what is going on in a particular setting. One always has to examine the particular context, including both the nature of the problem and the ways in which people in that setting understand the problem and more broadly what they value and how they operate. This is why we insist that the research that forms the first phase of this prevention approach must include not only generalised research on the violation, but also empirical research conducted at the site where the intervention is aimed and with the people who will be involved. Evaluations of effective prevention studies have consistently shown that close local research on the population for whom the intervention is intended and on how the problem occurs at the local level are critical to effectiveness (Nation et al. 2006).

Second, and as noted in the introduction, our research on effective strategies for organisational and community level change strongly indicated that change needs to be led and supported by stakeholders on the inside. For this reason, we have developed both a governance structure and a program design that locates key stakeholders and people in the organisations where change is sought as partners in the change process. Linking this back with the ecological or multi-systemic conceptual framework, the prevention approach presented here assumes that deep and sustainable systemic change can only occur where the human subjects who animate the different levels of the system play an active part in the change process. Thus, although from one perspective, we would say that their values and behaviour are shaped by different factors operating across the different levels, it is also their behaviours and their values that shape those factors and are capable of reshaping them. As such, the prevention approach needs to engage both system and subjects in ways that allow them to reconstitute each other.

In the following sections, we set out a series of steps that those who wish to design and implement a prevention project based on this approach should take. As you move through it, we hope that an understanding of this conceptual approach and our **theory of change** will assist you in understanding the logic underlying the different steps, their relationship with each other and their contribution to the overall objective of preventing human rights violations. At each step, we illustrate the type of activity and organisation involved by describing what this step looked like in the context of the Enhancing Human Rights Protections in the Security Sector in the Asia Pacific project. These illustrations are intended as guides but should not constrain users who see how the particular step or activity needs to be adapted to their context.

CHAPTER 2: A ROADMAP FOR YOUR PREVENTION PROGRAM

A prevention program needs to first plan a roadmap. A good roadmap will set out the work that needs to be undertaken in order to implement your **theory of change**. There are many different ways to go about developing a roadmap and translating this roadmap into actions. The best way to organise such a roadmap is one that has a logical framework. A logical framework sets out, in a series of logically linked steps, how you understand the links between the actions you plan to take, the results you hope to produce and how these results then contribute to the overall objective that you hope to achieve. Sometimes called a 'results-based approach', this type of roadmap shows how program activities can contribute to a number of intermediate outcomes that then produce long-term impacts.

The reason that a results-based approach is so important in program planning is that it assists everyone concerned to link whatever they plan to do or are doing to the overall goal underpinning the intervention. We often tend to think first of what types of activities we think we ought to undertake and then work out the results we expect to achieve and how those results relate to our objective. A good results-based roadmap moves logically in the other direction. We start with an objective, then work out what results we would have to achieve in order to know that we had met this objective. Only then do we turn to thinking about what activities would produce each of these results. A logical framework **(logframe matrix**) can then be used as a guiding tool to lead you through this process, starting with the objective, identifying results and then concluding with the activities. This takes a great deal more thinking, but it provides the foundation for a much sounder project. It also has the advantage of setting up your project from the outset in a way that will allow you to evaluate how well your project worked when the time comes to do so. In this way, and because you establish your desired results right up front, evaluation is not something you think about after the fact, but is built into the planning process.

As mentioned above, one tool to help organise your results-based roadmap is a **logframe matrix**. A **logframe matrix** is established before the project commences, often as part of a project or program design and funding application phase. One advantage of a **logframe matrix** is that it sets out your original intentions clearly, but it is also a living document that you can revisit and revise. As you start to work out how to implement your project and discover more about the actual situation in which you are working, you should revisit your **logframe matrix** and revise your original activities and plans to better fit with the results and objectives you set out to achieve. A **logframe matrix** is thus both a guide to results-based project planning and a tool for you to monitor and evaluate your prevention program.

THE RESULTS-BASED ROADMAP

A results-based project, which we will here call the 'Action', comprises four components. These same components can be found on the logframe matrix:

- **Overall Objective:** This is the overarching high level goal to which the Action will contribute but will not itself be directly achieved.
- **Specific Objectives**: These are the objectives that the Action is intended to achieve. They in turn contribute to the overall objective. There are usually one or possibly two objectives. When setting these objectives, it is useful to think about how you might measure whether these have been achieved.
- **Expected Results:** These are the results that would tell you whether you had achieved your specific objective/s. One way to think about the expected results is to see them as the positive tangible changes you are hoping to see/experience by conducting your program. The assumption is that if all your results have been achieved (or that these positive changes have happened) your specific objective/s will also have been met.
- **Activities:** These are the key activities to be carried out, including the sequence in which they will be carried out that will produce each one of your expected results. Note each expected result will likely require a series of activities.

TESTING THE ROADMAP

Against each of the above four components of the Action the logframe matrix then asks that you specify *"Objectively Verifiable Indicators*" (**OVIs**) and ***"Means of Verification"*** (**MoVs**). The **OVIs** and **MoVs** take you from planning what you will do and what you want to achieve to asking how you will know if you have done what you had said and achieved what you had hoped.

More specifically **OVIs** are the indicators that tell you if the objective and results have been achieved and if the activities have been undertaken. The **MoVs** are the actual sources of information for the **OVIs**.

For example, say your expected result is that the police in a particular district develop and implement a more human rights friendly strategy in relation to conducting interviews with suspects. How would you know if they had in fact developed this strategy and whether it worked?

One way of finding out would be to see if there had been a reduction in the number of complaints made by the public against officers in that district. A reduction in complaints will then be one of your **OVIs**. But where would you actually find out how many complaints have been made? You would, possibly, look at records of complaints or annual reports summarising complaint statistics. These will be your **MoVs**. When you come to evaluation, you then have in your hands both the indicators you need to measure and where you will look to measure them.

Another way of finding out would be to see whether the police in this particular district know about the strategy, feel comfortable implementing it and see the benefits in using it. Positive results from an in-house survey of the police in the particular district would be one of your **OVIs**. These positive results would confirm that your expected result has been achieved, at least from the perspective of the police using it. This survey can be applied before and after your prevention program has been implemented. The collection of completed surveys would be your **MoVs**, as it is from these documents that the positive results have been drawn from.

Objective: To develop and implement a more human rights friendly strategy in relation to conducting interviews with suspects in Police District X.	
Objectively Verifiable Indicators (OVI)	**Means of Verification (MOV)**
Reduced number of complaints made by the public against officers in that district. `In-house police survey to determine the attitudes toward the strategy.	Records of complaints or annual reports summarising complaint statistics. The result of the in-house police survey.

When evaluating the success of the project, these two separate sets of **OVIs** and **MoVs** present a stronger picture of whether the strategy was successful or not. In-house surveys or interviews with the people involved in the project are helpful, but may be biased or influenced by participants knowing what 'should' have happened rather than what actually did. Supported by evidence from the community in terms of a reduction in complaints, which again can be caused by other factors, the project has much stronger ground to claim success.

To illustrate, let us develop this example further, using the overall and specific objectives of our EHRP project as a starting point:

- **Overall Objective**: The prevention and eradication of torture by the police and military in Sri Lanka and Nepal.

This is a broad issue statement. An evaluation of our example project would never be able to determine whether this had occurred. What we do know is that our specific objective is set to contribute in some way to achieving this overall objective. As this overall objective provides a larger and longer-term picture of what we are seeking to achieve, we did not need to include **OVIs** or **MoVs** for it, as we will not be measuring it during the lifetime of our program and program evaluation.

Specific Objective: To develop the capacities of state officials to prevent and address torture within the security forces in Sri Lanka and Nepal, thereby contributing to the prevention or reduction of torture.

This is a more specific objective whose achievement can be measured by **OVIs** and **MoVs**.

Expected Results	Explanation
1	Increased knowledge about the root causes of torture amongst security personnel, including recognition and understanding of the effect of cultural and political variations**.**
2	Increased capacity amongst security personnel in Sri Lanka and Nepal to reject torture as an acceptable behaviour, to act to prevent or curtail its use.
3	Increased capacity amongst security personnel in Sri Lanka and Nepal to reject torture as an acceptable behaviour, to act to prevent or curtail its use.

There is a range of activities for each expected result. For example, let us look at the activities that needed to be undertaken to produce Expected Result 1 above.

Activities for Expected Result 1

i. Conduct multi-disciplinary research on the root causes of torture with security personnel with the aim of discovering effective prevention models in other settings.

ii. Conduct field research in the countries and with the institutions with which you are working on the factors that sustain practices of torture so that these can be specifically addressed.

iii. Produce a research report collating (i) and (ii) as well as recommendations for possible effective programs or projects that both draw on success elsewhere and factor in the particular political or cultural variations required to ensure success in the chosen countries.

iv. Translate and disseminate this research report to local authorities for them to also use and draw upon within their own districts/institutions/ organisations.

The activities listed above relate specifically to Expected Result 1. Once you have planned these activities, you then move to plan the next suite of activities needed to achieve Expected Result 2, which are listed on the next page.

Activities for Expected Result 2

i. Identify and seek approval for key leaders from within the military, armed police and police of the chosen countries to undertake a capacity building program with the aim of providing them with skills and strategies to reject torture or act to prevent or curtail its use.

ii. Design a workshop or series of workshops with key identified leaders from within the organisations with which we are working to familiarise them with our research on the root causes of torture in their professional settings and work together to strategise what possible effective prevention models could be designed for their workplaces.

iii. Deliver the workshops with the key identified leaders, including the production and dissemination of written materials to support them beyond the workshop.

While these activities are linked to Expected Result 2, it is important to note that the results or outputs from activities conducted to achieve Expected Result 1 are also incorporated into Expected Result 2. For example, the field research and research report production and dissemination activities for Expected Result 1 informed the activities for Expected Result 2 in designing and delivering the workshops. It is for this reason that setting out each Expected Result first, and in sequential order, rather than jumping straight to activities, becomes a key factor in the strength of the project design.

Finally, activities are developed to build upon the last set of activities to ensure that Expected Result 3 is achieved.

Activities for Expected Result 3

i. Collaborative design of prevention strategies, programs or projects to be used by the change agents to undertake within their workplaces including intensive planning and budgeting.

ii. Implementation of each individual change agent's prevention project or program according to their own results-based approach.

iii. Design and completion of a monitoring and evaluation framework for each strategy and/or project to ensure that they can be assessed for their effectiveness and thus contribute to the broader knowledge base of what prevention strategies work in different settings.

Now that each of the Expected Results has a set of activities linked to it, the next stage in this results-based approach was to set out, right from the very beginning, some indicators or anticipated measures of success for each expected result and activity. This then formed the beginning of the monitoring and evaluation plan for the prevention program, and was just as important in the results-based approach as setting out the results themselves. Once completed, these indicators or measures are what confirms, often both qualitatively and quantitatively, whether or not the expected results were achieved and that the whole design was a success. The indicators need to be evidenced-based as much as possible through **OVIs**. Starting with indicators of success of each activity was the most straightforward task. Establishing whether an activity has happened or not, or was successful, can now be determined easily and directly.

Activities for Expected Result 1

i. Conduct multidisciplinary research on the root causes of torture within police and military settings with the aim of discovering effective prevention models in other settings.

Objectively Verifiable Indicator: That the research has been conducted successfully, including comprehensive research conducted from different disciplinary perspectives and empirical research at the intervention sites. If the research does not exist, then the activity has not been completed.

*Note it is sometimes difficult to incorporate a measure of quality here. So the research might exist, but is it good research? More complex results-based approaches will build in OVIs that incorporate quality control – it may be that one OVI for the research is that it has been peer-reviewed and accepted within academic circles. This then serves as a form of quality assurance.

Evidence of this **OVI** is then also required. This is the tangible output or actual evidence that this indicator has been achieved and is called in results-based approach language the 'Means of Verification' or **MoV**. This is what an external evaluator will ask to see as evidence that the indicator has been achieved. As external evaluators were not part of the project team, and therefore had not been through the project process, the **MoVs** could be the only reference point they have to rely on, other than feedback from the project team themselves, where objectivity could sometimes be compromised.

Activities for Expected Result 1

i. Conduct multidisciplinary research on the root causes of torture within police and military settings with the aim of discovering effective prevention models in other settings.

Means of Verification: A research report complete with bibliography referencing the various resources used in the research.

Setting **OVIs** and **MOVs** for activities is, as stated above, relatively straightforward. Setting **OVIs** and **MOVs** for the Expected Results and finally for the Objective is much harder, as it involves imagining in abstract terms what the results would look like, while also thinking pragmatically on how they can be measured. Unlike in medical research evaluation where *Randomised Control Trials* or exact scientific measurements can be taken and compared, working with organisational, attitudinal or behavioural change is a lot harder to measure and involves a level of inevitable inaccuracy. Thus, often a number of **OVIs** are needed to gain the fullest picture of whether an Expected Result has been achieved or not.

Below is an example of a logframe matrix using our results-based project example above. At each level of this matrix the *Objective, Expected Result and Activity* is stated first in the left hand column. In the adjacent column is the **OVI**(**s**) for this specific component of the project and the third column contains the **MoV** for each of the **OVIs**.

The final column of the logframe matrix is called "*Assumptions*". These are built into the logical framework to ensure that any assumptions, curve balls or roadblocks have been anticipated in the project design. At this stage, the logframe matrix only includes one Expected Result and associated set of activities. However, a fully completed logframe matrix would contain all expected results and activities, and OVIs and MOVs for each.

Table 1: Logframe Matrix

Overall objective: The prevention and eradication of torture by the police and military in Sri Lanka and Nepal			
Results-Based Approach	**Objectively Verifiable Indicators (OVI)**	**Means of Verification (MoV)**	**Assumptions**
***Objective*:** *To develop the capacities of state officials to prevent and address torture within the police and military in Sri Lanka and armed police and police in Nepal.*	At least 30 key leaders from the police and military in Sri Lanka and armed police and police in Nepal have increased capacity to assess causes of torture within their workplaces and develop prevention programs to combat this problem.	Self-reflections and evaluations with key leaders/change agents about their projects/programs. Reports of new prevention programs being implemented after project conclusion.	That the key leaders/change agents complete their projects and use the skills and knowledge they have acquired to further this prevention work in their workplaces.
***Expected Result 1*:** *Increased knowledge about the root causes of torture amongst security personnel, including recognition and understanding of the effect of cultural and political variations.*	The research from this project constitutes a new contribution to the body of literature on the prevention of torture and is used by security forces, academics and human rights organisations working on prevention of torture in the future.	Records of publication of this new research in a number of settings, invitations to speak at conferences, publication in academic journals, citations of research in others' academic work.	The wider network working on the prevention of torture is interested in and values this research as a new contribution to the existing body of literature.

Overall objective: The prevention and eradication of torture by the police and military in Sri Lanka and Nepal (continued)			
Results-Based Approach	**Objectively Verifiable Indicators (OVI)**	**Means of Verification (MoV)**	**Assumptions**
Expected Result 1 Activity 1: *Conduct multi-disciplinary research on the root causes of torture within police and military.*	Peer reviewed academic research is produced and published that combines analyses of the root causes of torture from a number of disciplinary perspectives and presents recommendations on effective strategies.	Research report and multidisciplinary bibliography. Reviews of research report by at least two experts from two separate academic disciplines.	Multidisciplinary research on root causes of torture and effective prevention strategies is available.
Expected Result 1 Activity 2: *Conduct field research in the countries and with the institutions with which you are working on root causes of torture in their settings.*	Research team obtains empirical research from a specified number of sources through interviews and focus groups in both Sri Lanka and Nepal representing both security forces and NGOs/organisations working in prevention of torture. A 75% response rate to questionnaires distributed.	Notes and transcripts from field interviews and focus groups. Questionnaire responses.	Security force members are willing to participate in research; questionnaire responses are high.
Expected Result 1 Activity 3: *Produce research report and recommendations of possible effective programs.*	Research report including recommendations is produced and published before conclusion of project.	Copies of research report.	There is enough high quality research completed to publish report.
Expected Result 1 Activity 4: *Translate and disseminate this research report to institutions with which you are working.*	Research report is translated into Sinhala, Nepali and Tamil and disseminated to a distribution list 100+ recipients, both in hard copy and electronic form.	Translated copies of research report/certification of translation. Dissemination plan/distribution lists for hard copies/hits on web for downloads.	Permission is granted for the research report to be translated and distributed.

CHAPTER 3: SETTING UP YOUR PREVENTION PROGRAM

PART 1: ESTABLISHING A COLLABORATIVE PROGRAM STRUCTURE

Overview

Before establishing any program, or before applying for grants or funding, you need to establish a collaborative structure of stakeholders that represents the widest range of interests as possible. In this way, the local sector will own the program rather than it being a model imposed on them from the outside. It is likely that the prevention program will be conceived and implemented by a group of civil society organisations or perhaps a combination of civil society and governmental or international organisations. Regardless, all partners should be involved from the start and have input into the project design.

One of the unique characteristics of the prevention model outlined above, is that it works by seeking to bring about transformation in the organisations and communities in which human rights violations take place or where there are risks of them taking place. As such, it is highly advisable to include the institutions in which change is being sought from the beginning and to accord them an official status as Associates. They would then not necessarily be partners (although they could be), but would nevertheless have a special status in recognition of their importance to the Action.

One of the key findings of our research on effecting change is that real and sustainable change can only be brought about if there is buy-in from the inside. Working collaboratively with the full range of stakeholders, including the institution in which you are seeking to effect change (the Associates) can be challenging for human rights actors and academics, keeping in mind that it will likewise be challenging for them to work with human rights actors and academics! For all parties, collaboration of this type requires learning to talk, work and make decisions with people who may have very different perspectives and very different ways of thinking about human rights. Working across spheres and building collaborations is, however, one of the most important aspects of this approach.

A further distinctive feature of this prevention model is that it involves both research and piloting or implementing an actual program in institutions or communities. This means that it involves a broader range of types of people than is usually the case in any single project. At various points of the project, academic researchers, members of civil society organisations and the Associates will have important roles to play. The project structure needs to build spaces for all of these actors to play their own part as well as spaces for them to relate to each other and to have influence over each other's work. For example, the researchers will be principally responsible for the research, but they will also need to present and discuss it with the Associates and civil society representatives so that they can provide feedback, without compromising the integrity of that research. Moreover, if research is taking place in the Associate institutions, leaders of those institutions will most likely need to give permission for it to be undertaken and may have concerns about its dissemination. Ensuring clear lines of communication and establishing collaborative decision making bodies will prevent (or at least moderate) project breakdowns at any of these important stages.

If the project is international or multi-national, it is also likely to involve actors from different countries, so ideally you need a structure that links actors and institutions from the different sites. If the project is being 'led' by an international actor (i.e., an actor outside the countries in which the intervention is taking place) particular care needs to be taken to ensure that decision-making occurs in a manner that includes the perspectives and concerns of the local and international partners. At the same time, lines of authority and decision making principles need to be clear as it is unlikely that all parties will agree on all matters. Balancing democratic and local decision making with efficiency and good project management requires a sound and clear governance structure.

Particularly important here is finding a governance structure that strikes the right balance between international and national or local actors, between the partners and Associates, between actors internal and external to the organisation and between civil society representatives and the representatives of the institutions that are formally involved.

We advise a project structure that includes partner organisations in each country where the Action is taking place, a Steering Committee, country based Reference Groups, an External Advisory Body and a Project Team.

Establishing the collaborative structure will entail establishing each of these components and the Enhancing Human Rights Protections in the Security Sector in the Asia Pacific project is provided as an example of how we did it. The steps are set out in Figure 5 below.

Figure 5: The Steps in Establishing a Collaborative Structure

Step 1: Select Your Partners

The Action is likely to be initiated and driven by one organisation or actor, but if it is working in a number of countries, it is of critical importance that it be managed and run by a consortium of organisations and that in each country there is a local partner. The partners may be civil society organisations, governmental organisations, National Human Rights Institutions or academic institutions or some combination. You may already have your partners at the point of designing the Program, but if you do not, they should be brought on as early as possible and included in the Program design.

EHRP Example: Program Partners

The Program Partners were represented by:

- The University of Sydney, Australia;
- The Centre for the Study of Human rights, University of Colombo, Sri Lanka;
- The Kathmandu School of Law, Nepal.

Step 2. Select and Establish Relationships with the Associates

Because this prevention model involves bringing about institutional and/or cultural change in an organisation and/or community in which the violations in question occur, it is important to have those institutions or representative organisations of the community on board. A Program of this type will work best if at least some of the partners have a history of relationship with those Associates. Bringing the Associates in at the design stage, or certainly before you apply for funding, is necessary to the Program's success.

EHRP Example: Associates

The Sri Lankan Associates were:

- Sri Lankan Armed Forces and the Department of Police, Sri Lanka.

The Nepalese Associates were:

- Nepal Police and the Armed Police Force, Nepal.

Step 3. Establish a Steering Committee

Now that you have the key partners in place, you need to put in place your governance structure. The Steering Committee has the ultimate decision making authority with respect to the Action. It includes an equal number of representatives from each of the partners that is undertaking the Action. You may also wish to include the Funding Body in the Steering Committee.

EHRP Example: Project Steering Committee

The Project Steering Committee members were a representation of the:

- Project funder
- Lead partner (University of Sydney)
- Nepali Partners
- Sri Lankan Partners
- Chair: Project Director, University of Sydney

Reporting requirements: An annual project report to the funding agency outlining project results.

Step 4. Put Together the Project Team

The Project Team includes sub-teams at each site, managed by the lead partner and the Project Director, who is based in the lead partner organisation and who reports to the Steering Committee. Working with the Project Director is a Project Manager who oversees timelines, expenditures and all project management.

At each country site there should be in-country researchers who work within the country partner organisation and who are responsible for undertaking the local research and supporting the Action at the local level. Depending on the size and complexity of the Program, there may also be a research manager who oversees all research and ensures its integration and project managers at each of the country sites.

The Project Team should work closely with commissioned experts described below. If resources permit, it is most useful to hold meetings at the beginning of the research process including the in-country researchers and commissioned international experts to clarify and coordinate the research agenda and again after the research has been completed to ensure that they share their expertise and findings.

EHRP Example: Project Team

The Project Team was made up of:

- Project Director
- Overall Project Manager
- Project Administrative Assistant (part time)
- Project Research Manager (who spent substantial periods in both Sri Lanka and Nepal)
- Administrative Manager, Nepal
- Senior Researcher, Nepal
- Researcher, Nepal
- Administrative Manager, Sri Lanka
- Senior Researcher, Sri Lanka
- Researcher, Sri Lanka.

Reporting requirements:

- Quarterly report from each partner to lead partner organisation.

Step 5. Establish In-Country Reference Groups

In each country where the Action is taking place, there should be a Reference Group comprising representatives from the institutions and communities in which change is being sought. The principal purpose of the Reference Group is to ensure that the program meets local needs in each country or setting. The Reference Group provides feedback and ensures that the program meets the needs of stakeholders and can be effectively delivered in a sustainable way.

The Reference Group is made up of key stakeholders who have a vested interest, and the social standing in the community, to promote the prevention program objectives. If you are working with actors such as the security sector or other agencies in which you are seeking to effect change, it is crucial to have them participate in the Reference Group. It is also important to include representatives of the Government departments that will be required to cooperate with, or approve of, the implementation. It is equally important to include representation from civil society organisations working in the field, so as to ensure that the Program has legitimacy in the local context.

Choosing members in high conflict contexts or where there are factions or stakeholders who are at odds with each other may involve some careful negotiation and difficult choices. You need to strike a balance between the principle of inclusiveness and representation, and the need to avoid the prospect of the Reference Group being unable to function due to excessive conflict. Someone who is committed to the objectives of the Program and who has good standing with all stakeholders should chair the Reference Group. The Reference Group should meet regularly, we would suggest quarterly, but certainly whenever major developments are taking place.

EHRP Example: Reference Group members

Two Reference Groups were established (one for each country). The Reference Group members were a combination of stakeholders from the partner organisation, the associates and civil society.

In Sri Lanka, the Reference Group consisted of:

- Twelve representatives of the Sri Lankan Police, Sri Lankan Military, Navy and Air Force, Attorney General's Department, and members of civil society organisations.
- Chair: Director, Centre for the Study of Human Rights

In Nepal, the Reference Group consisted of:

- Twelve representatives of the Nepal Police and the Nepali Armed Police Force, Home Ministry, and National Human Rights Commission.
- Chair: Former Secretary of the Home Ministry

Reporting requirements:

- Minutes of meetings provided to the Project Director.

Step 6. Select and Establish an External Advisory Committee

Sitting outside the formal decision making structure and having no role in the actual Program activities, it is useful to establish a committee of external advisors who can provide strategic advice and assistance to the Project Director. Ideally, these should be high-level people with a significant background working in the field and with an understanding of the context in which the work is taking place. Including members who have a strong understanding of (but who do not belong to) the Associates may also be helpful in troubleshooting issues as they arise.

EHRP Example: External Advisory Committee

The External Advisory Committee was made up of five members with the following expertise:

- Professor Robert J. Lifton (world authority on psychological causes of violence);
- Professor Phil Zimbardo (international expert on torture and situational violence);
- Dr Kiran Bedi (former Director General Indian Police Service and Inspector General Tihar Prison);
- Professor Ravindra Fernando (Professor of Forensic Medicine, former Director Centre for the Study of Human Rights, University of Colombo); and
- Mr Sanat Kumar Basnet (former Inspector General, Nepal Armed Police Force).

Reporting requirements:

- Program Director sends biannual reports External Advisory Committee and consults as required.

Step 7. Commission Experts

Commissioned Experts can be included in the Project Team so as to ensure that the research and program design is informed by the highest level of international knowledge in the field. The Commissioned Experts may include local and international scholars and practitioners with expertise and experience in the area of the prevention program.

The specific functions of the Commissioned Experts may include:

- Working out the body of research that needs to be undertaken and how the different parts of the research can be coordinated and integrated;
- Shaping the research questions;
- Conducting commissioned research that will support the development of the intervention. For example, in the EHRP, each of the members of this group prepared a report on the root causes of torture and/or on effective prevention strategies for change drawing on their disciplinary or experiential expertise;
- Providing advice and support for the team conducting in-country empirical research;
- Providing advice about putting theory and research into practice, often the most complex aspect of establishing a new program; and
- Assisting in developing the evaluation plan.

The Project Director should manage the Commissioned Experts. If feasible, the Commissioned Experts should meet face-to-face on several occasions. This should include an initial meeting early on in the Program to establish the research briefs, an interim meeting after they have conducted their own research to discuss their findings and the translation into the intervention and a final meeting once the intervention has taken place to review the results. At other times, the Commissioned Experts can be available via Skype or e-mail.

EHRP Example: Commissioned Experts

The Commissioned Experts were seven members with the following areas of knowledge:

- Professor Darius Rejali (a political scientist and leading international scholar in the history of violence and torture practices);
- Professor Gameela Samarasinghe (a Sri Lankan sociologist/psychologist with extensive experience in working with communities affected by violence);
- Professor Janet Chan (a criminologist and internationally renowned expert on the organisational culture of and organisational change in police forces);
- Professor Jack Saul (a systems psychologist with expertise in working with communities and organisations on cultural change, the effects of torture and dealing with trauma);
- Professor Moira Carmody (an international expert on cultural and organisational change, focusing in particular on the prevention of violence);
- Dr Astrid Birgden (a forensic psychologist and former Australian prison Governor, responsible for major reform processes in the Australian correctional system); and
- Brigadier Michael Griffin (a senior military Australian lawyer and member of the Australian Army (38 years) with extensive experience in training Militaries in humanitarian law).

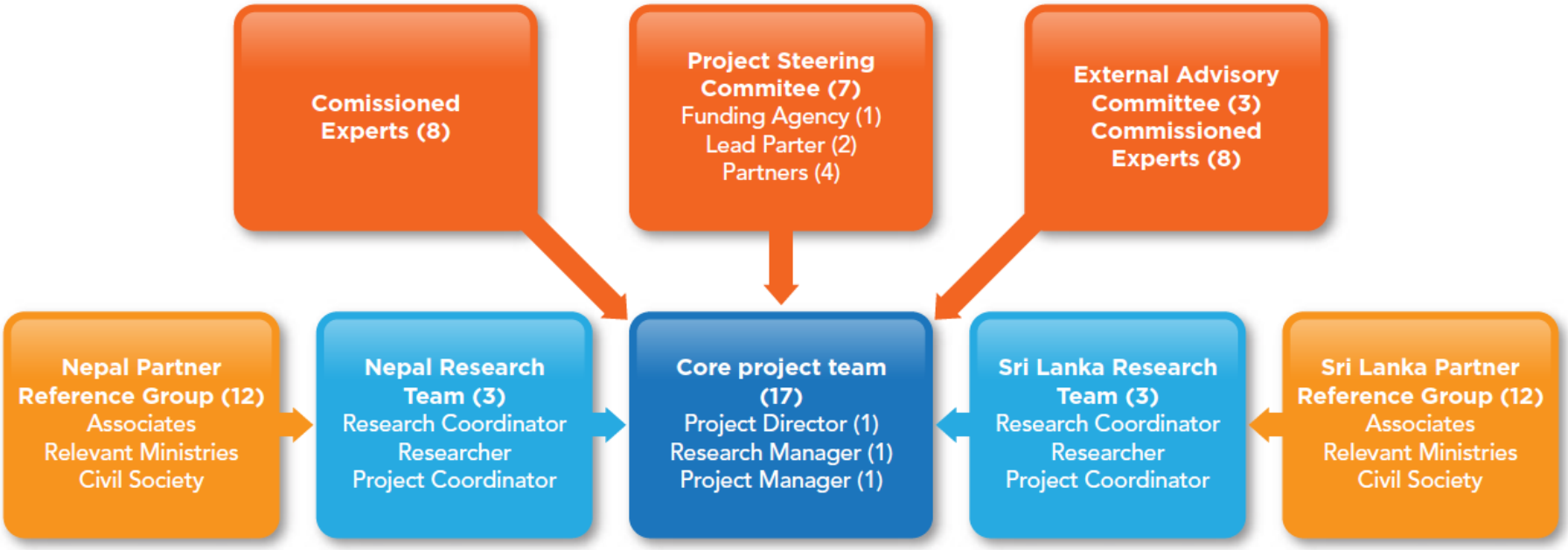

Figure 6: EHRP Governance Structure

PART 2: CONDUCTING RESEARCH ON YOUR PROBLEM AREA

Overview

One of the most important components of this model of prevention is a thorough understanding of the problem that you are seeking to address. Too often interventions aiming to prevent a violation or to stop a problem occurring are designed without really understanding the nature of the problem. This prevention model requires that you develop a rich and empirically based body of knowledge on what causes the violation, what sustains it, what types of efforts have already been made to stop or prevent it and how the particular community or organisation understands it.

Another distinctive feature of this model is that it seeks to develop a rich understanding of the different 'levels' at which the problem is caused. As discussed in Part 1, the conceptual framework is an ecological or multi-systemic model, which recognises that there are a range of types of factors at different 'levels' that contribute to the existence and persistence of a particular violation (torture, corruption, violence against women). This means that in your research, you should not only focus on the causal factors in the organisation with which you are working, but at the causal factors in other parts of the overall system – the legal system, cultural values and practices, political influence and ideological factors.

It is likely that there is already a well-established body of research on the problem you wish to address. This body of research will provide you with general principles and guidelines for what to look for. Some of this research may have been conducted on the problem as it exists in your sites where you are working but often it will have been conducted in other places or at a more universal level. As such, it is critical that you conduct local empirical research on the problem in the places and organisations where your Action is taking place. A grounded understanding of what is the case where you are actually working, and with the people you are working with, is absolutely necessary for knowing what will be required to prevent the problem.

Several components required in conducting research are set out in the Figure 7 below and described in the following sections.

Figure 7: The steps in conducting research in your problem area

Step 1. Conduct a Literature Review

It is likely that there is already a sound body of research on the particular topic that you are addressing. The first step is then to conduct an analytic literature review. Such a review would consider the existing body of research and critically analyse what is useful for the current Program. For this you can seek assistance from the Commissioned Experts.

The general research questions that guide this literature review will be:

- What are the root causes of the problem?
- What are the organisational, cultural, political, psychological, legal or other actors that cause, support or provide a permissive environment for the problem?
- What is the legal framework both internationally and domestically regarding this violation or problem?
- What types of prevention strategies have been tried in the past? What worked and what did not and why?
- What types of strategies are available to effect cultural/situational/ organisational/psychological changes?
- What strategies are best suited and feasible for addressing these issues in the institutions where we are working?

By having a team of experts from different disciplinary backgrounds you can have them answer these questions from different perspectives. For example, legal experts will focus on the legal weaknesses that create a permissive environment for the problem, a criminologist may explore the organisational factors in the security agency that contribute to the problem and a social psychologist may illuminate the psycho-social factors and dynamics.

EHRP Example: Key Components of the Literature Review

The kinds of questions that the literature review considered included:

- What types of approaches have been used to prevent torture or torture? What do we know about how well they work and their cope conditions;
- What types of explanations have been developed for why torture occurs and becomes systematic?;
- How is it that torture comes to be normalised in the Police and Military? In particular, what are the organisational, cultural, political, psychological, legal or other factors of the institutions in which torture occurs, extending where appropriate to the contexts in which they operate, that cause, support or provide a permissive environment for practices of torture?;
- What types of strategies and interventions are available to effect cultural, situational, organisational and psychological change?; and
- What types of strategies have been attempted and are best suited to bringing about change in military and police institutions?

EHRP Example: Organisational Influences in a South Asian context

Our literature review indicated that in understanding how practices are perpetuated in organisations, it is useful to analyse the operation of those organisations in terms of their structures, their processes and their cultures. Organisational structures are those aspects of the organisation that create incentives or disincentives for personnel to behave in certain ways or to commit certain acts. Organisational processes are those aspects of the organisation that create opportunities for the improper use of force to occur. Organisational cultures are the everyday ways in which people in the organisation act and speak that transmit 'how we do things around here' and what type of values are considered 'normal' in the organisation. This could then be brought to the sites of our research to ask the following questions.

Organisational structure

- What type of 'capital' is valued in the organisation? For example, what makes for someone being held in high esteem or having a good reputation?
- Are laws punishing individual police who use force improperly enforced? Is there strict supervisory oversight by the judiciary or doctors? Are there strict policy guidelines that explicitly constrain certain behaviours?
- Do whistleblowers get good protection?

Organisational Processes

- What are the conditions of detention, including the positioning of detainees in the overall architecture and layout of the place of detention?
- What type of surveillance is there of personnel while they are with people at risk of being exposed to human rights abuses?
- How do senior officers role model behaviour? What are their styles of leadership, and the manner in which they implicitly support certain types of behaviours?
- What is the length of shifts and the basic conditions under which personnel operate?

Organisational Cultures

- What are the basic assumptions and "taken-for-granted" truths about identity and why things are done the way they are?
- What are the routine ways of categorising the environment and the people encountered in the community? For example, hardened criminals and drug addicts need to be beaten severely if they are to provide any information.
- What are the formal and informal standard operating procedures? For example, when the authority of security forces personnel is challenged, physical violence as punishment may be held to be appropriate.

Step 2. Conduct In-Country Research

Too often programs are designed without a close understanding of the country and organisational context in which they are implemented. Indeed, evaluations of prevention programs indicate that conducting research in situ is one of the most important factors for ensuring that the intervention is effective (Nation et al. 2006). In-country research can make sure that the program really fits your context.

In conducting this research, it is critical to have a team of in-country researchers and to ensure that you have funding for them. In-country researchers allow for qualified locals to collect and analyse data and be sensitive to the political nature of your Program. They are also more likely to be able to gain access to the communities and individuals from whom you will be seeking information. To support the in-country researchers, it is important that they be part of a local institution that is a member of the overall project management structure. At the same time, it is important to be clear about the reporting lines and management of the research.

The first task is to establish the research questions. These should be developed so as to produce the knowledge and understanding that will assist in developing the intervention. For example, if you are seeking to understand the different factors that underpin the problem you are seeking at address, your primary research question would be: “What are the root causes of (torture, domestic violence and so on)?”

Secondary research questions are then also be developed to assist in developing the intervention further.

These might include:

- How do different actors understand the problem? Do they see it as a problem?
- What other interventions have been tried? What were their effects? How did people experience them?
- What types of norms and values do the actors for whom the intervention is designed hold?
- How does the organisation in which the intervention is taking place currently operate? What types of structures and processes are currently in place?
- What do personnel in the organisation see as their greatest challenges?
- What do personnel in the organisation believe that the organisation should be like? What would they see as ideal for someone in their role?
- What is the leadership structure in the organisations and in the intervention context?
- Who are considered role models or leaders in the local context?
- What other organisations are working in this space?

The following data collection methods can be used:

- *Semi-structured interviews:* to explore themes through a structured conversation using open-ended questions, taking approximately 30-60 minutes for each interview.
- *In-depth interviews:* to allow for a deeper analysis of material, taking approximately 2-3 hours for each interview.
- *Observation:* to gain insights into the day-to-day operation of individuals within the Program context. If participant observation is to be conducted, this will require at least several days in order to normalise the presence of the researchers.
- *Focus groups:* to conduct group discussions regarding perceptions, opinions, beliefs, and attitudes towards the Program topic, taking approximately 90 minutes per focus group.

- *Training material analysis:* to review the existing training materials delivered to individuals within the Program context.
- *Legal data analysis:* to review data on laws, rules and regulations that the individuals within the Program context are bound by and have to implement in their everyday practice.

It is important to ensure that a range of stakeholders and representatives of different groups are included in your research. If you are interviewing members of the organisations in which you are working, make sure you include people from different ranks, different operational areas and different districts, as well as ensuring you interview men and women. You may have to request additional funding to conduct in-country research.

You will need to check if National Ethical standards and processes exist, which regulate either the principal research team or the country in which the research is occurring. If no such processes exist, you should nevertheless go through a checklist to ensure that the research is conducted in an ethical and safe manner.

Key questions in this regard include:

- Is the research being conducted in a manner that could place any of the research subjects at risk?
- Have you put in place processes to mitigate these risks or address any problems that might occur?
- Is the research being conducted in a manner that could place the researchers at risk?
- If so, what strategies are in place to mitigate the risks or deal with any problems that might arise?
- Is the recruitment taking place in a manner that avoids coercion?
- Is the confidentiality of all participants adequately protected?

As well as this type of general background research, you may wish to draw on the 'Community Readiness Model' to assess the readiness of the group with which you are working to undertake a change process (Edwards et al. 2000). The Community Readiness model is set out in Tool 1 at the end of the Manual.

Participants were selected using a purposive sampling technique by identifying those participants most likely to contribute appropriate data. Wherever possible, participants from both genders and from different ethnic, social and class/caste groups, levels of experience, education and status/rank, and geographical sites were identified. The research team met frequently with senior officials of the Ministry of Home Affairs, Nepal Police and Nepali Armed Police Force to discuss issues related to the design and conduct of the research. The authorities were very supportive in terms of providing access to police stations and personnel, which allowed the researchers to collect a rich set of data on which to base our recommendations.

EHRP Example: Nepal

The in-country researchers engaged in the following data collection methods.

Semi-structured and in-depth interviews with key informants

- Retired Police personnel: 4
- Officials under the Office of the Attorney General: 3
- Official of the National Human Rights Commission: 1
- Officials under the Ministry of Home Affairs: 2
- Legal professionals: 10
- Medical, forensic experts, psychologists, psychosocial counselor and mental health professionals: 8
- Civil society and victims organisations: 17
- Nepal Police interviewed across a range of ranks and in various locations around the country: 60
- Armed Police interviewed across a range of ranks and in various locations around the country including focus group discussion: 20.

Participant observations in police stations

- Lalitpur district: 27 days
- Bhaktapur district: 16 days
- Kathmandu district: 17 days
- Chitwan district: 5 days
- Sunsari district: 5 days.

Participants were selected using a purposive sampling technique by identifying those participants most likely to contribute appropriate data. Wherever possible, participants from both genders and from different ethnic, social and class/caste groups, levels of experience, education and status/rank, and geographical sites were identified. The research team met frequently with senior officials of the Ministry of Home Affairs, Nepal Police and Nepali Armed Police Force to discuss issues related to the design and conduct of the research. The authorities were very supportive in terms of providing access to police stations and personnel, which allowed the researchers to collect a rich set of data on which to base our recommendations.

Step 3. Integrate the Literature Review and Empirical Research

The body of research that will have been produced from the literature reviews and from the empirical research provide a very rich set of perspectives from various disciplines. This is both positive insofar as it provides a great deal you can use, but negative in the sense that it will not provide a clear direction as would research conducted along a single disciplinary or methodological line. As such, the body of research will need to be integrated.

Once you have your integrated body of research, it is now time to decide what type of intervention you are going to actually make. As discussed in the discussion of the Framework above, the intervention should follow from what you find in your research.

Before developing the actual intervention design you will need a theory of change. Again, as discussed on pp. 4-5, this Manual is based on an existing theory of change. However, your research may throw up other issues and particular findings that need to be taken into account and to modify your theory of change and intervention design.

We recommend that the entire research team, including your experts and in-country researchers all be involved in a discussion about how to integrate the research and about the theory of change and intervention design.

EHRP Example: Researcher Integration and Design Meeting

At the beginning of the second year of the EHRP, after the literature reviews and the empirical research had been completed, the full team came together for a three-day meeting. The Project Director prepared summaries of the research and distributed these to all participants and the researchers also made presentations of the major findings of their research.

After all of the research had been presented, the team worked together to find a framework that could integrate the different parts of the research. Once they had this integrated framework, they then developed a theory of change that flowed from the research and that could form the foundation of the more practical part of designing an actual intervention.

We found that it was important to leave plenty of time for these tasks as it is likely you will have to try out a few models before you find one that will integrate all of the different parts of the research. The meeting is also a capacity building activity as it provides an opportunity for all participants to learn about each other's work and learn about developing an integrated Theory of Change.

Step 4. Prepare a Research Report

The literature review and empirical research is integrated into a Research Report and presented to the stakeholders. Depending on your prevention program, each report will look different, but generally a report should follow a format that is easy for the reader to understand and to see the link between the evidence and your recommendations.

Your report should set out not only your research findings but also your methodology. Here it is important to describe the way you went about conducting your literature review and/or gathering research evidence. The report should then set out in some detail your key research findings, both from the literature review and the empirical research. If you involve researchers from a number of disciplines, you may need to set out their findings in separate chapters, although it is helpful to integrate them through a discussion.

Make sure that you also relate your findings to findings that have been made on your research questions in past studies, indicating where you have replicated those findings or made new and different ones.

Once you have presented and discussed your findings, you should then set out evidence-based recommendations regarding your proposed prevention program. This section will be the most important for many of your stakeholders, who will be most interested in what you propose to do. Establishing the reasoning underpinning your proposals will be very important in allowing them to make a sound decision about whether they agree with your recommended course of action.

In addition you may wish to consider the theoretical or practical implications of your research and discuss unsolved and new problems. These will be suggestive of future research directions. It is important to include references that acknowledge the work of others that have gone before you, and this will also allow readers to pursue their own research if they wish.

EHRP Example: Report from Enhancing Human Rights Protections in the Security Sector in the Asia Pacific

A detailed report was provided to all stakeholders with the following chapters:

1. Background and limitations to the project.
2. Research methodology.
3. Past approaches to human rights protection in the security sector.
4. A framework for understanding root causes.
5. Linking root causes with prevention strategies.
6. What does the international literature tell us about the root causes of human rights violations in security forces?
7. Barriers to protecting human rights- views from the field.
8. How can organisational cultures be transformed?
9. International experience in changing norms and violent behaviours.
10. The EHRP intervention.
11. References.

Step 5. Conduct a Stakeholder Meeting

By this stage, your prevention program should have a large number of stakeholders involved. Before commencing delivery, you should hold at least one stakeholder meeting or workshop in order to present the Research Report and ensure that the numerous stakeholders are engaged in the process to date. Ideally, the entire Research Team, including the Commissioned Experts and the Partner Project Team, take part in this process.

The objective of the stakeholder meeting is to have all parties on board for the implementation of the actual intervention that is designed from the research. A further advantage of bringing the team together is that it provides an opportunity to integrate the perspectives and frameworks that are provided through the more conceptual research with the actual empirical in-country research findings. This ensures that the literature review can include the local context as much as possible.

EHRP Example: Stakeholder Meeting

A Stakeholder Workshop was held in Nepal for 2 days.

The Stakeholder Workshop included:

- Project Steering Committee
- Partner Reference Groups
- Applicant Project Team
- Project Staff
- Commissioned Experts

The Stakeholder Workshop was to share and link the research conducted to the literature review, and seek endorsement of the next steps of the Program.

The objectives of the Stakeholder Workshop were to:

1. To familiarise the stakeholders with the Program, the research and the approach, enroll them in the process, and create a sense of ownership and excitement about the Program;
2. To allow for discussion between the core Project Team and the Reference Groups and for views of the Reference Group to be integrated into the Program design;
3. To allow stakeholders to share views, experiences and aspirations for the Program;
4. To establish an infrastructure of institutional support of the next stages;
5. To assist in the identification of Human Rights Protection Facilitators; and
6. To establish the timeline for the next steps including preparation for the international conference in 2014.

Prior to the Stakeholder Workshop, the research findings were shared across the team and the Project Director drafted a detailed confidential report integrating the research and the literature review that was provided to the Reference Group members for discussion.

Chairs: Project Director, Sydney University and Project Steering Committee partners.

PART 3: IMPLEMENT THE PROGRAM STEPS

Overview

The **theory of change** we developed established that the best way to prevent torture was to address the factors that cause such violations, or more accurately that **normalise, incentivise, facilitate, authorise** and **create opportunities** for torture. Depending on what the research finds to be the most important causal factors, and depending on what type of access the Prevention Program has to different parts of the overall system, it will target factors at one or more levels.

What this means is that at the point of completing your research and integrating your findings, you need to make a strategic decision about the level at which your intervention will be targeted. Most likely, you will already have decided this before you commence your Program and you will have built stakeholders from this level into the governance structure and conducted particularly intense research at that level. In our example Program, we had planned from the outset that we would be working at the level of security organisations. Accordingly, we had leaders of those organisations on our Reference Groups and conducted intensive research on those organisations and with their personnel.

Nevertheless, it may be that your research will show that factors at levels where you had not planned to work are particularly important. If this is the case and you have the flexibility and resources, you may wish to go back to your **logframe matrix** and revise it so that your expected results and your activities are targeted at reducing risk factors and strengthening inhibiting factors at other levels.

In the prevention model that we follow for the remainder of this Manual, we assume that the level that will be targeted is the organisation in which the problem or violations take place and that the prevention approach will thus be aimed at bringing about strategic change in the organisation. Such changes should address the organisational factors that create the defined problem or violations, diminishing the risk factors and strengthening the inhibiting factors. If you are working at other levels, for example with the legal system or in communities, you will need to adopt this approach so that you can locate and address risk and inhibiting factors operating at those levels.

Focusing then on the goal of bringing about organisational change, our **theory of change** also established that the most effective way to bring about deep and sustainable changes is to have people within the organisation who occupy operational leadership roles initiate and drive change. The intervention program then needs to support the change agents in the organisations so that they are best placed to develop projects that will diminish risks and strengthen inhibiting factors.

The delivery process is summarised here as a nine-step program, as shown in Figure 8 below and explained in the next section. Each step is set out in more detail below using the EHRP Program to illustrate what it might look like in practice.

The eight steps below form a sequence of activities involving the development of the projects that will bring about organisational change, their implementation and their evaluation. It is important to see them as a sequence, with the early steps (Steps 2 - 5) being directed towards developing the capacities of the personnel within the organisation to develop their projects and on supporting project-planning activities. Implementation of the actual projects commences in Step 6. For a number of these steps, we provide Tools that are set out at the end of the Manual. One of the tools that we used is **Participant Workbook** that we provided to our change agents to support their own project development, planning and implementation. This Workbook brings together a number of the other tools in a single package designed for the people who will actually be taking part in your prevention project. The full Workbook that we used is not included here but you can obtain a copy from the author on request. If you create such a Workbook, and we recommend that you do, you might choose to give it to them early on in the process (say Step 4) but it will be useful for the people developing the project to look at and think about adapting for your own purposes.

A cautionary note: These program steps were developed on the basis of empirically-derived knowledge on the specific problem with which we were concerned and a close understanding of the organisations with which we were working. Depending on the outcome of your research (outlined above) you may wish to modify these steps. The Reference Group and Commissioned can assist you in this task.

Figure 8: The steps of the EHRP Program

Step 1: Appoint Facilitators

When stakeholders agree on the prevention program, workshops or other educational forums are likely to be delivered as part of the agreed strategy. It is very important that appointed facilitators have the right knowledge, skills and attitude for this role.

Facilitators need to be appointed according to the nature of the learning objectives and type of expertise required. For example, if the objective of a workshop is to develop the capacity of participants to conduct a needs analysis of their workplace regarding human rights violations, then an expert in human rights will also require skills in project management or needs analysis research or else someone with such skills should co-facilitate with a subject expert.

In appointing facilitators the following principles will be important:

- Ensure that there is a combination of international and local facilitators, with the local facilitators included in the leadership roles. Participants may have a negative perception of the process if the workshop, or other educational forum, is led by an international only team and local facilitators will be better placed to ensure context appropriateness;
- Where possible include some facilitators or presenters from the Associate organisations themselves, preferably from leadership positions. This signals ownership and endorsement and internal leaders are likely to carry authority with the group;
- Be mindful of the standing of your facilitators. In Military and Police organisations for example, rank matters.
- Where possible include facilitators who speak the local language or, if not, work with interpreters. The groups will be able to participate more deeply if they can speak in their mother tongue. If there is more than one language in the group, ensure that there is equal recognition of all languages.

Facilitators require guidance on how to handle difficult discussions and how to work with conflicting attitudes and values that participants may express. In some cases there is guidance in international documentation, but it is of a fairly limited nature, given the depth of skill actually required. If you do not have appropriate facilitators with this skill set or if those who would be acceptable to your target group do not have the skill set, you may wish to offer training on developing these skills. This approach will also have the benefit of creating a resource for future projects in country.

EHRP Example: Workshop Facilitators

Workshops were delivered. The Workshop Facilitators were made up of a combination of:

- Project Steering Committee partners;
- Sydney University Project Team;
- Some Commissioned Experts, in particular the military expert;
- Senior members of the Associate Organisations;
- Civil society representatives with specific area expertise; and
- Invited local speakers who brought expertise on selected topics such as leadership.

Step 2: Design Evaluation

Evaluation is to be built into the overall planning and logic of the program from the beginning - not as an afterthought.

In Chapter 1 of this Manual, we discussed some of the features that have been found to characterise effective prevention strategies. These included having a sound and empirically grounded **theory of change**, which we have discussed above and built into this methodology. Also critical to success is including a robust evaluation process. Evaluation is important firstly to provide the project team and other stakeholders with information indicating if the approach was successful in achieving its objectives and secondly to provide feedback for how you can work more successfully in the future.

Unfortunately, evaluation has not been very strong in the field of human rights. Most often, when we do evaluate our interventions, we evaluate actions and not results, or outputs and not outcomes. So for example, we measure how many people attended a training session, or perhaps we assess what knowledge they acquired but we do not assess whether as a result of attending the workshop their behavior changed and practices in the workplace changed.

As such, it is important that you do not leave thinking about evaluation right at the end – adding it after you have conducted all of your activities as an afterthought. Rather it needs to be built into the overall planning and logic of the program. You may also need to be creative in how you evaluate your results so that you find ways of going beyond measuring outputs.

As explained in the Chapter 2, the approach taken here starts by developing a **logframe matrix** and in this way, builds evaluation in from the project planning stage. The logic of this matrix works by asking you first to specify the objective of your Program and from here to work out what results you would have to achieve in order to know that you had met this objective, and then develop activities to produce each of these results. The model involves addressing a number of intermediate outcomes that would then produce long-term impacts. Your evaluation should thus be directed to assessing how well your program produced these results. You may also wish to evaluate some of the important processes that formed part of the overall program, such as how well you developed collaborative relationships with partners and Associates.

As an example of how to establish your evaluation plan on the basis of the expected results, you can now go back to the table on pp. 23-25, where we set out the evaluation plans linked with Expected Result 1 of the EHRP.

Expected Result 1: *Increased knowledge about the root causes of torture amongst security personnel, including recognition and understanding of the effect of cultural and political variations.*

The table sets out Objectively Verifiable Indicators (OVIs) and Means of Verification (MoVs) for this result as well as for the four activities associated with the result. In developing a detailed evaluation plan for your prevention Program, it will be important to set out the OVIs and MoVs for each of your expected results right across the program, including for example establishing your collaborative structure, conducting your research and developing the capacity of your change agents.

You also need to think about the methodology you will use for ‘measurement’. In a program such as this one, it is unlikely that such results will be measurable using a positivist quantitative method. That is, while you might be able to count the number of people who attend a workshop, or the number of workshops that are held, you cannot similarly measure how much the capacity of participants to resist and address torture has increased. To do this, it is likely that you will need to adopt a range of qualitative methods, such as interviewing those who participated in the process, their peers, superiors and members of the communities in which they work.

You may also wish to develop questionnaires that you administer immediately an action such as immediately before and after training takes place and then several months down the track. An excellent tool, specifically tailored to evaluating training, but with resources useful well beyond this context is Equitas and UN Office of the High Commissioner for Human Rights (OHCHR) *Evaluating Human Rights Training Activities: A Handbook for Human Rights Educators* (2011).

It is common and important for an independent person not involved in the Program to conduct the evaluation, as they are able to look at the whole Program from design to completion, from an outside perspective. The evaluator will usually have a set of criteria to inform *what* to evaluate, such as:

- **Appropriateness or Relevance**: Focuses on the extent to which a Program or Action was suitable for, or suited to, the priorities of the target group – in our case, this target group would most likely be colleagues in your workplace. It might also include the extent to which the Program was tailored to local needs and context, including whether it compliments similar Programs or actions in the same area.
- **Effectiveness**: Measures the extent to which your Program achieved its intended objective and expected results. This is usually assessed on what you have included as your indicators in your Monitoring and Evaluation Plan. The evaluator may ask to see your means of verification to evaluate these. An evaluator may also want to find out what the major challenges in implementing your Program were, and whether there are any key changes you would make if you were to advise someone else starting the same Program.
- **Efficiency**: Measures the extent to which the results have been delivered in the least costly, or time-consuming, manner. It refers to how well the various parts of the Program were managed in a cohesive and smooth manner.
- **Impact**: Examines both the positive and negative changes from the Program – these can be direct and indirect changes, intended or unintended changes. Unlike measures of effectiveness, an impact evaluation is designed to see whether the Program has met its objectives, and how this Program contributes to the overall goal set out in your Project Plan.

Step 3: Select Change Agents

Identify interested and innovative mid-level leaders in the organisation who are willing to become "change agents".

In choosing your change agents, you need to identify certain characteristics or capacities that will assist them in effectively carrying out their tasks. They should, for example be enthusiastic about change as well as innovative and willing to become 'change agents' to promote human rights. You also need to understand how the particular organisation operates, how different work units are organised, what the lines of influence and authority are and where responsibility for decision making lies so that you can work out where and at what level of leadership the change agents should be located. It is important to keep in mind here that leadership is not only located at the top of the organisation, and often locating leadership at an operational level can be more effective. It is also important to ensure that your change agents are not drawn from specific parts of the organisation such as Human Resources or Training, as this may result in the change strategy being limited to the periphery of the organisation. In selecting change agents, research on what makes someone effective in bringing about change can be useful.

Effective change agents have been found to have the following characteristics (Gendreau et al. 2002):

- Have an intimate knowledge and operational experience of the Police or Military and its staff;
- Have the support of senior and frontline staff;
- Are professionally oriented and have values are compatible with the security forces' and the program's mandate and goals;
- Have a history of leadership and effecting change;
- Employ motivational techniques such as persuasion, respect, authority, reinforcement, modeling, systemic problem solving, advocacy/ brokerage;
- Continue until they achieve clear performance indices that staff and management are able to maintain with a reasonable degree of competence.

The criteria that the project team comes up with should then be shared and discussed with the Reference Groups and in particular with the leadership of the organisations in which the intervention is to occur. In consultation you can then come up with a final list of criteria or characteristics. Most likely, the organisational leadership will themselves choose the change agents as they will need to approve and support their activities.

EHRP Example: Nepal

The change agents were described as Human Rights Protection Facilitators (HRPF).

The process for HRPF selection was as follows:

1. The Project Team came up with a list of ideal characteristics:
   - Being a mid leadership level rank;
   - Located in the field at an operational level (e.g., in police stations) rather than being trainers or in policy development;
   - Being viewed as a "future leader";
   - Having the capacity to influence peers in their workplace;
   - Having no history of misconduct;
   - Having an above average reporting history; and
   - Demonstrating the capacity to apply a range of non-legalistic or relational approaches to problem solving.
2. The characteristics were discussed with the Reference Groups and Associates and through their input and views a set of criteria is agreed upon.
3. The leadership in the Associates nominated the change agents.
4. The Associate leadership nominated change agents (8 in each organisation).

Step 4: Deliver a Preparation Workshop

An initial preparatory workshop or similar program introduces the identified change agents to the Program, its approach and begins to develop their capacities to act as agents of change in their organisation.

Tool 2

Resources for Workshop Delivery includes a discussion of the methodology for running this and the later workshops as well as model agendas.

The **Preparation Workshop** forms the first of several steps that are designed to prepare the change agents to design and implement specific projects in their workplaces that will address risk factors and strengthen practices or structures that will inhibit the violation or problem on which the Program is focusing.

As discussed earlier, when your change agents actually start developing their own projects, we would recommend that you give them a Participant Workbook that they can use as a reference and planning tool. You may wish to give it to them at the end of this first workshop so that they have a sense of what they will be doing. If you do this, make sure they know that over the next months you will be helping them acquire the skills they will need to fill it out.

To achieve these objectives, take your participants through a series of activities and exercises set out below.

EHRP Example: Preparation Workshop Objectives

1. To familiarise the change agents with the Program, the research and the approach, enrol them in the process, and create a sense of ownership and excitement about the Program;
2. To form a support/information-exchange network amongst the change agents;
3. To set the change agents up so that they can go back into their position within the security forces and work within their own context to 'map' the situational factors that create conditions in which torture may occur and the strengths and preventative factors on which they can build.

Activity 1: Introduce change agents to the Program and their role

Depending on how they have been briefed by their own organisations, this workshop may well be the first occasion that the change agents have been directly involved in the Program. This means that it is important to convey to them a clear sense of what their roles are and what will be expected of them.

Before getting too far into this introduction, we suggest that you conduct some type of activity that will assist you in evaluating whether the workshop and the entire Program achieved its expected results and objectives. One tool that you can use is a pre- and post-workshop questionnaire.

Tool 10

Workshop Attitude Questionnaire provides a model that can be adapted for your own use.

There are two important components of this introduction. One is to communicate the content, substance and structure of the 'mission'. At this point the activities are focused on the early part of the planning, but it is important that participants understand where what they are doing now fits in with the overall Program and what they will be doing over the next months. As the Program involves several stages, we suggest dedicating a session to laying this out very clearly – stage by stage with timelines, expectations and the support available made very clear. At this point you might also wish to refer to the Participant Workbook if you are using one.

The second component of the introduction is 'motivational'. The change agents will be playing a critical role in an overall prevention approach and their commitment and enthusiasm will be important to success. As such, it will be important to have leaders from the organisation take part in the Preparation Workshop to provide their support and to emphasise the importance of the work that the change agents will be doing to the organisation.

Sessions dedicated to these tasks are set out in the blueprint workshop plans in Tool 2.

Activity 2: Card Game to familiarise change agents with the research findings

Although the change agents will be designing their own projects and conducting original research to identify specific risk factors, it is important that they are familiar with the research. The overall prevention program will already have produced a body of research on the root causes of the problem. This research is likely to cover root causes beyond those that operate at the level of the organisation and root causes in the organisation itself.

It would be possible to simply give the reports to the change agents to read, and you can do this, but it is more useful to present the research in a manner that will be meaningful to them and that they can link with their own project work.

In addition, it is important that the change agents understand why they are being asked to do what they are being asked to do – that is, why projects addressing organisational risk and inhibiting factors would be useful in addressing the violation or problem. In other words, change agents need to have a grasp of the ecological or systemic conceptual approach that the overall Program takes and where their work will fit in with this.

The aim of this activity is to familiarise the change agents with the research that has been conducted on the root causes of the problem and through this to introduce them to the ecological approach. The goal here is for participants to think about how the root causes of the human rights violation in question may operate at the following levels: Individual; Organisational; Community; Political; Legal; and Ideological.

The change agents will be focusing on the organisational level, but they need to see how this fits in with a broader picture. The activity is then also designed so that the change agents can begin to make links between the research that has been conducted, the ecological approach and their own work designing and implementing projects to bring about organisational changes.

Presenting research can be considered "dry" for some participants. Also presenting a conceptual framework can be very confusing. We suggest using a participatory or experiential activity rather than presenting a series of facts or concepts that often comes with research findings. The activity should present research findings regarding the causes of the identified problem you are seeking to prevent in an interactive way through an exercise first and then follow it with a discussion so that participants can apply the information to their own context. Going from experience to theory is one way of making the theory more accessible and meaningful.

Below we suggest one activity that you may use to do this, modelled on the way that we did it in the EHRP. You may wish to use a similar exercise or design another one that moves from experience to concept and theory. For example, it has been applied with staff in correctional facilities to help them understand how many services a drug user may have to attend, or with judges to understand how the conditions they apply to community corrections orders impact upon convicted offenders living in the community. You should therefore be able to adapt it to your needs.

Tool 3

A Card Game: From Research Findings to Framework describes this activity in more detail.

Activity 3: Small group discussion so that participants can think about the research findings in their own context

It is useful to follow this activity with a further task where the participants think about the ideas that the activity introduced and how it will relate to what they will be doing.

In small groups, or as a take home task, participants reflect on the activity and think about how it may apply in their own setting. So for example, you might ask them to discuss:

- What do you think are the most important root causes of the problem? (Note this question is not only about their organisation but looking at root causes in general).
- What aspects of your workplace create risks of the violation or problem occurring?
- What about your organisation makes it more difficult for you to prevent or stop the problem or violation occurring?
- In what way does your workplace inhibits the violation or problem or helps them to inhibit or stop it?
- What areas in your organisation do you think you have the capacity to influence?

Small groups then report back to the larger group. If the task is set as a take home exercise it can be discussed the following day.

Activity 4: Large Group Discussion on Mapping Causality

The large group now comes back together to discuss the different types of causes and to see how these can be mapped according to the different levels at which they operate.

- Have two facilitators stand at the front with a white board. On the white board put a number of different headings, each corresponding to one of the levels (individual, organisational etc.)
- Now ask the participants to call out different causal factors that they came up with or that were in the card game (you can leave the cards around for them to look at or put them on a hand out).
- As they call them out, ask them which level they think they belong to.
- After this activity, the facilitators then set out the ecological model and explain that the change agents will be working to bring about change at the level in which they are working, or through their workplace, at other levels.
- They can then focus in on some of the answers that they came up with in their small group as the types of causes that they might focus on.

Activity 3: Introduce project planning

The aim of this part of the Preparation Workshop is to introduce participants to some tools for project planning. As they will eventually be designing their own projects, this forms the first step in the process.

Before commencing the activities where they will acquire particular planning skills, make sure that participants understand that what each of them will be doing is designing a project that will bring about organisational changes that will address some of the factors that create risks that the problem or violation will occur. Explain that this part of the workshop is designed to help change agents develop those projects and link this back with the flow of activities that you explained at the beginning of the workshop.

The participants need to be clear that the tools that are being conveyed at this point are the ones that they will be using at the next stage of the process when they begin to conduct the needs analysis in their own workplace.

Introduce the participants to the idea that they will be designing project using a goal-oriented approach. This approach creates effective and sustainable organisational change (rather than only changing activities).

Tool 4

Explaining the Goal-Oriented Approach provides some sample slides for teaching a project planning approach.

Explain to participants that the first part of the process is to conduct research that will help them work out what the objective or goal of their project should be. Make it clear that they will be conducting their own Needs Analysis after the completion of this workshop and so what you are doing here is giving them some tools that they will be able to use.

In order to establish workable goal or objectives, the first step is for them to “map the territory” by conducting a Needs Analysis.

A **Needs Analysis** provides participants with the information needed to determine the type of project that will change their organisation in an effective and feasible way. In this case, the Needs Analysis will assist them to identify the types of factors that may be contributing to the problem, as well as the types of factors that might assist in solving it. Explain to the participants that they will be returning to their workplace and working with their colleagues (superiors, peers and juniors) and possibly with those outside the organisation to conduct a Needs Analysis.

There are a number of methods that can be used to conduct a Needs Analysis: staff surveys, in-depth interviews, examine data or hold a community forum. During the next stage of the process, the project team will assist the participants to conduct a Needs Analysis in their own workplace, using some of these methods.

Tool 5

Guidelines for a Needs Analysis provides an example of a guide for conducting their own needs analysis that you may wish to introduce at this workshop of provide as a tool to support them during the next step.

Once the change agents have collected the data through interviews, focus groups or using other methods, they will need to organise it in a way that will allow them to plan their project. The objective here is for them to identify a specific problem that will be the focus of the project. In particular, there are two exercises that can assist with making sense of data collected during the Needs Analysis — a SWOT Analysis and a Problem Tree. The following two activities are intended to develop the capacities of the change agents to use these two tools.

Exercise 1: Conducting A SWOT Analysis

A SWOT Analysis considers **Strengths**, **Weaknesses**, **Opportunities** and **Threats**. In this case, the Strengths and Weaknesses relate to different aspects of an organisation that might create risks for or inhibit the violation or problem. They provide a snapshot of where the organisation is now. Opportunities and Threats relate to different aspects of an organisation that will encourage or inhibit the protection of the human right you are working on in the organisation in the future.

Here we suggest an activity that you might use to teach the participants how to apply a SWOT Analysis to their workplace. To do so, each participant is provided four different coloured cards on which they are asked to write:

- Yellow card: the biggest **strength** of your workplace that enhances human rights protection
- Orange card: the biggest **weakness** of your workplace that lead to the risk of human rights abuses
- Green card: the biggest **opportunity** in your workplace for enhancing human rights protections; and
- Pink card: the biggest **obstacle** in your workplace for better protecting human rights and preventing human rights abuses.

The information collected is then converted to a SWOT Analysis by placing the completed coloured cards under the four headings as shown on the next page.

Tool 6

SWOT Analysis provides more detail with questions that can be asked to create discussion.

EHRP Example: A SWOT Analysis

Strengths:

- All personnel exposed to human rights training.
- A commitment in the organisation to human rights protection.
- Smart and dedicated personnel.

Weaknesses:

- Lack of basic resources.
- Information collection is not systematic and based on a personal approach.
- Lack of good investigation skills.

Opportunities:

- An enabling working environment.
- Willingness of leadership to encourage reform.
- Personnel keen to learn new skills.

Threats:

- Influence of informal groups and networks guided by vested interests.
- High degree of variance between principles in training and practices.
- Frequent transfer of personnel.

Exercise 2: Creating a Problem Tree

Once participants have mapped the territory of the workplace using a SWOT Analysis, the next step will be to use this information set the project objective/s. We suggest using the **Problem Tree** tool to assist with this task. This activity teaches them how to create a Problem Tree.

Tool 7

The *Problem Tree* provides templates and examples.

Before the group commences an activity to practice constructing their own Problem Trees, the facilitator should explain what a problem tree is, why it is used and how to go about making one. The following six points describe the basic information that needs to be conveyed.

Once this information has been conveyed, the participants should undertake an activity to practice making a problem tree for themselves. Participants are to break into small groups and select one of the Weaknesses or Threats from the SWOT Analysis. Participants then write this down as a 'problem' in a box on a large piece of paper.

Using the framework and with support of the facilitators, the participants then create their own Problem Trees to determine what opportunities for change are possible in their workplace.

Creating a Problem Tree

1. Identify the problem and put it in the centre of a cause and effect diagram.
2. Draw a line upwards and list all the negative effects this problem has on the workplace, on you and on human rights in general. You should aim for at least three or four 'effects'.
3. Now draw a line from these effects upwards, and list the secondary or deeper effects the problem causes.
4. Revisit the problem at the centre of the diagram, and draw lines downwards. List the reasons why this problem exists under those lines. These are the 'causes' of the problem.
5. Now think about what actions you can take, or what interventions you might design that could address and alter the cause of the problem so its effects no longer exists or are reduced. You can mark this on the problem tree by writing the actions under the roots.

Step 5: Support a Needs Analysis

The change agents return to their workplace and conduct a Needs Analysis regarding their particular context through discussions with their colleagues, peers and juniors. They can use the SWOT Analysis and Problem Tree tools they acquired in the Preparation Workshop to organise the material.

Tool 5

Guidelines for a Needs Analysis provides a model guide for the Needs Analysis that can be adapted for your own use.

At this point, the groundwork for planning and preparing the specific projects that the change agents will eventually undertake needs to take place. These projects should target practices, processes or structures in the organisation that create risks for the problem occurring (domestic violence, torture and so on) or that can inhibit its occurrence. The first practical step, which takes place at this stage, is to gather more information about the workplace that will assist in identifying which particular practice, process or structure in the organisation will be the focus of his or her project. We recommend allowing approximately two months for this process, depending on the workloads of the change agents and the availability of the project teams to provide support.

During the Preparation Workshop, the change agents will have been exposed to the research conducted at earlier stages of the P on the organisational factors that cause or underpin the problem or violation. To develop effective their own specific organisational change projects, however, the analysis now has to move from general level factors or causes, to the specific risk and inhibiting factors in the parts of the organisation where the change agents work and over which they have some leverage. Drawing on the tools that they acquired in the Preparation Workshop, the change agents will now conduct the initial research and do the initial thinking that will allow them to identify a specific problem that they can address through a feasible organisational change strategy at the local level.

To do this, each change agent now conducts an analysis of his or her own workplace. This will most likely involve them working with their own people and with the support of the project team to hone in more closely on the particular nature and manifestation of the general problem. In order to conduct this needs analysis, the change agents may conduct surveys, interview personnel, or meet with members of the community or specific organisations. The project team will need to assist with conducting specific research or conducting additional literature searches to assist them in this process. Gathering this primary data will ensure that their project targets an issue that really is a problem in their workplace and is sensitive to the existing situation.

A further advantage of conducting the research in his or her own workplace and with his or her own people, is that the change agent can begin to involve others and ensure that they feel part of the process. Enrolling others who will need to be part of the change and including them as part of the process of identifying problem areas and possible solutions will help avoid the danger that they will feel that changes are being imposed on them without their say. This type of involvement has been found to be critical to people's ability to take the change on board and to minimise resistance. Once they have gathered some data they can then begin to organise it using the two tools presented in the first workshop – the SWOT Analysis and the Problem Tree – to find out what the problems are as well as identifying opportunities and constraints for change. Below is an excerpt from the Participant Workbook that we used that explains how to do one's own SWOT Analysis. Figure 9 shows a Problem Tree using the PEACE model (a motivational technique for police interview of suspects) as an example.

EHRP Example: Participant Workbook

Using a SWOT Analysis helps you to organise the information you have researched into four categories.

Strengths and weaknesses relate specifically to the different aspects of your organisation that might encourage or inhibit protection of human rights and reduction in the use of violence. These strengths and weaknesses assess the state of your organisation now.

Opportunities and threats refer to both the possibilities for change (things that you think can be changed without too much difficulty within your organisation) and the threats that you might face if you were to try and instigate change in your organisation. These may be internal factors, such as lack of support from colleagues, or external factors such as funding or political interference.

The SWOT Analysis is likely to throw up a range of issues, not all of which will be directly connected with the problem that is the focus of the overall Project and many of which cannot be addressed within the scope of the project that the change agent will be able to undertake. For example, if the change agent conducts interviews with team members, they may name a large range of issues of concern, some of which may lie outside the scope of the project. However, the SWOT Analysis will provide the change agent with the information that will allow him or her to identify some specific problems that their project could seek to address.

From the SWOT Analysis, the change agents then need to pick one central problem that relates to the overall project (for example the improper use of force) and that will be placed in the middle of the Problem Tree. Remember though, this specific problem will not be the same as the overall problem that the Prevention Project is addressing, but will be related to it. For example, if the general project problem is violence against women, the specific problem may be that the police station does not have adequate processes for dealing with domestic violence complaints. The specific problem that each change agent is addressing is a problem that creates risks of the larger or overall problem occurring.

During this needs analysis phase, the change agents will also begin to delve more deeply into the problem that they have identified and specifically to identify some of the causes of the problem that they may be able to address in their project. The Problem Tree tool is a graphic tool that can assist in drilling down to identify where in the overall causal map the project should be focused. Here the change agents would not be expected to complete their Problem Tree, but having an initial draft to bring to the Action Planning Workshop may help focus their thinking and planning. They will have the opportunity to work further on their Problem Trees during the Action Planning Workshop.

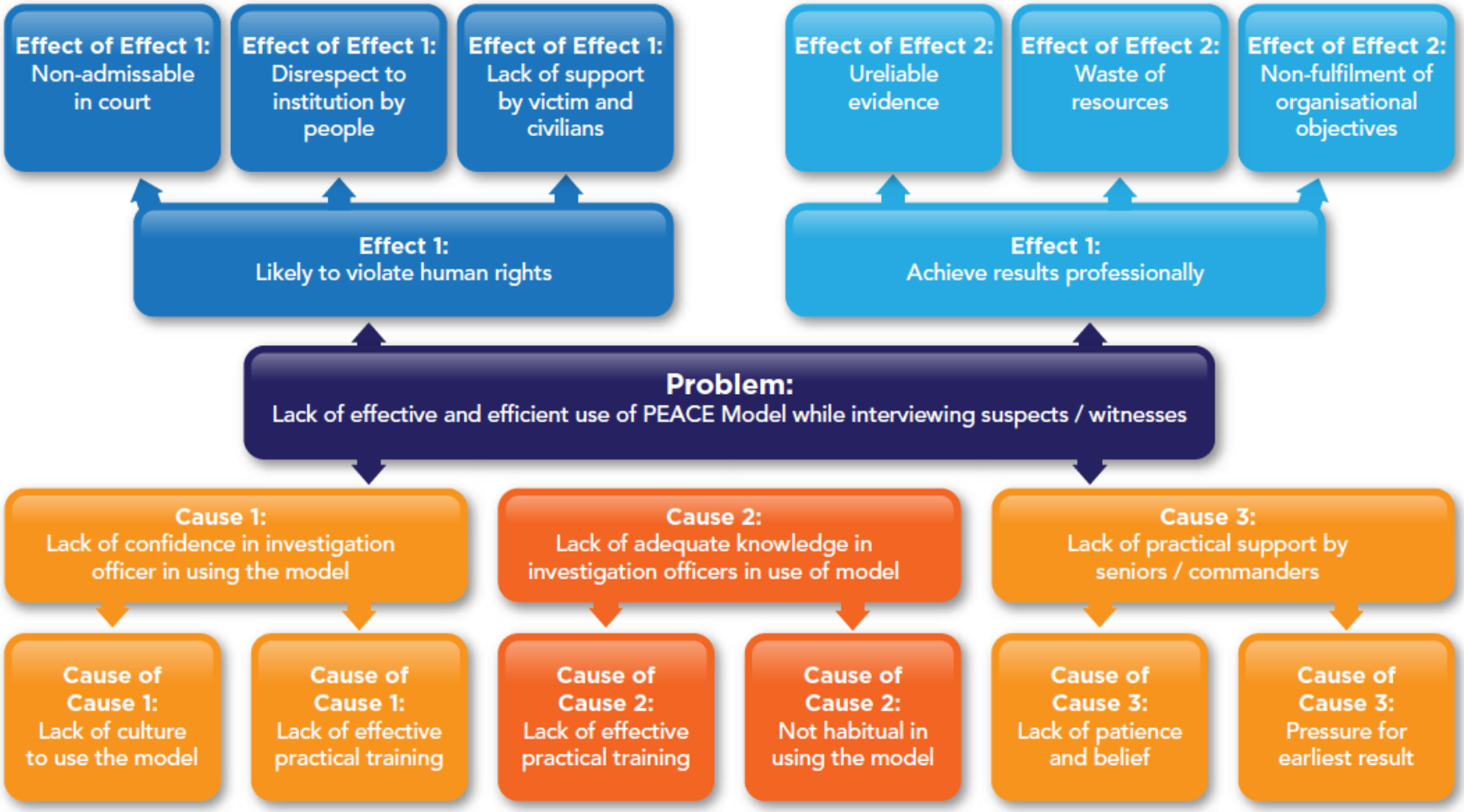

Figure 9: Problem Tree for the PEACE Model

Step 6: Deliver an Action Planning Workshop

An Action Planning Workshop or similar program is now delivered to change agents to review the outcome of the tasks previously completed and to more fully develop their own projects.

Tool 2

Resources for Workshop Delivery includes a discussion of the methodology for running the Action Planning workshop as well as a model agenda.

The **Action Planning Workshop** presents participants with additional resources and practical examples from other contexts that may have been useful to them in developing their own projects.

At this workshop they will also commence their own project planning. We suggest that you now re-familiarise them with the Participant Workbook that you gave out in the Preparatory Workshop (and make sure they have a fresh copy to use).

EHRP Example: Action Planning Workshop Objectives

1. Provide HRPFs with the opportunity to present their needs analysis and discuss the implications for their projects.
2. Provide examples of resources that the change agents might want to draw on for their projects. These included sessions on dealing with stress and workplace integrity, effective leadership for change, and changing norms and attitudes.
3. Assist the HRPFs to develop specific Action Plans and strategies for the workplace based on the Needs Analysis.

Activity 1: Develop the Needs Analysis

After introductory sessions, the **Action Planning Workshop** should begin with sessions allowing the change agents to present and get feedback on the **Needs Analysis** that they have completed in the last months since the last workshop. This **Needs Analysis** will form the basis of the project planning activities that will take place later in the workshop.

It is important at this point to allow the change agents to provide feedback to each other as well as resource personnel providing feedback. This may also provide an opportunity for change agents to combine projects or identify ways in which they can cooperate with each other.

Activity 2: Invite experts to provide resource development tools

At this point of the Program, when you have a better idea of the types of issues that are of interest for the change agents and the type of problems they are dealing with, it is useful to do some more focused capacity building with them. The **Needs Analysis** that they have conducted will provide an indication of where the gaps and the needs are and the project team can draw on these draft **Needs Analyses** to work out the content of these sessions. You can also ask the change agents to identify the type of capacity building activities that they believe would benefit them.

EHRP Example: Information Sessions: Sri Lanka and Nepal

Examples of skill development areas include:

- Ethical leadership and organisational change;
- Good practices for organisational change;
- Building relations with civil society and conflict resolution;
- Conflict management and conflict resolution;
- Creative problem-solving & ethical decision-making in crisis situations;
- Investigative interviewing techniques – PEACE methods;
- Creative training and education;
- Psycho-Social Skills to Manage Work-Related Stress.

The capacity building sessions can also be used to expose the change agents to resources that they may wish to use in their own projects. For example, sessions on leadership, team building, active and participatory learning may be useful across a range of project types. You may also wish to provide sessions on more specific topics such as non-violent conflict resolution, working with specific groups or building community relations. The topics will depend on the nature of the problem and organisation involved in your prevention Program.

You may also wish to provide participants with resource material that they can draw on both in their projects and more broadly in promoting human rights in their organisation. For example, there may be resources on other projects or prevention programs or examples of activities on which they may wish to draw. You may wish to translate some of these into local languages (note: be sure to seek permission if they are under copyright!).

Activity 3: Plan the projects

The major activity of the Action Planning Workshop is the actual project planning that will allow the change agents to commence their individual prevention projects. The change agents now have enough information and skills to start developing a Project Plan or Action. We suggest breaking this activity down into the components shown in Figure 10.

It is at this point that your change agents will start to actively use the Participant Workbook. The Workbook will be most useful if it provides clear instructions for each stage, examples and then space for them to fill in the relevant section for their own project.

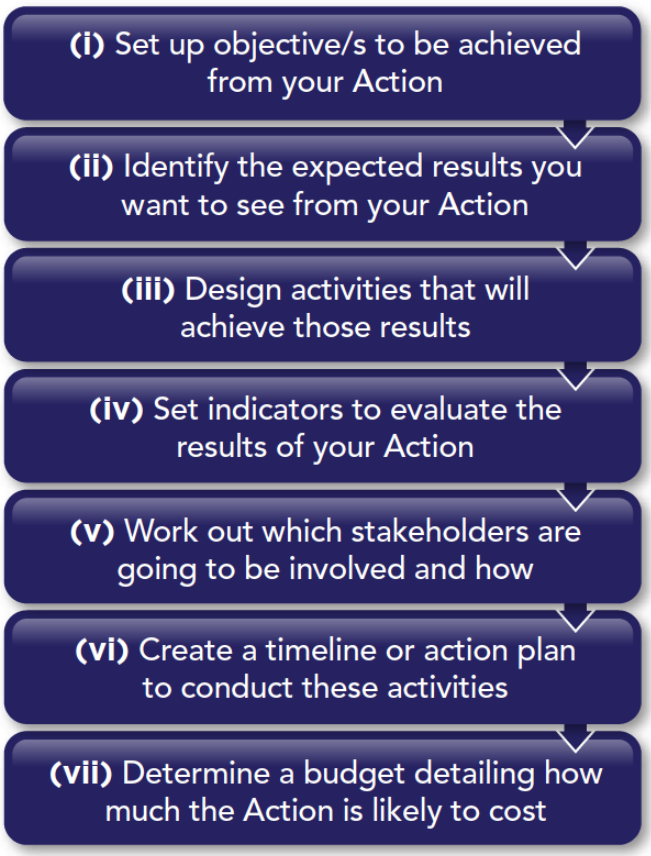

Figure 10: Components of project planning

Activity 3 (i) Set the objective/s to be achieved from your Action

The overall 'goal' of the project will already have been established (e.g., preventing torture) but now the participants need to work out specific objectives that they will work on. This objective determines the scope of the project. It is designed to contribute to, but not wholly achieve, the overall goal behind the project. The objective is what each project will directly achieve.

The **Needs Analysis** that the change agents will already have completed will assist them in identifying the specific objective of their project. The easiest way to work out what the specific objective should be is to revisit the Problem Tree.

Participants may have already created their **Problem Tree** or they may need to do further work on it, especially if they had feedback on their presentation that they want to use. Time should be set aside for them to complete the **Problem Tree.**

Looking at the Problem Tree, the change agents can see at the centre that they have identified a central problem. The Problem Tree also drills down to identify some of the root causes of this central problem. Their project can focus either on the central problem itself (if this is not too broad) or on one or more of the root causes.

Using the example above, the problem that they might work on may be "lack of effective and efficient use of PEACE Model while interviewing suspects" or one of the causes of that problem, "lack of knowledge in investigation".

The first task for the change agents after completing the Problem Tree is then to transform their 'problem' (at the centre of the tree or one of the root causes) into an objective for their specific projects. This requires translating the problem on the problem tree into a positive statement.

For example, if the identified problem on their Problem Tree is: 'lack of effective use of the PEACE Model in interviewing suspects', then the objective would be the 'effective use of the PEACE Model in interviewing suspects'. If they are going to work more narrowly on one of the root causes, for example 'lack of knowledge of proper interviewing techniques', their objective will be 'adequate knowledge of proper interviewing techniques.'

An Objective needs to be **SMART**:
Specific
Measurable
Attainable
Relevant
Time-bound

EHRP Example: Nepal: The PEACE Investigative Interviewing Technique: Objective

Objective: Effective and efficient use of the PEACE Model to interview suspects/witnesses without use of force.

Activity 3 (ii) Identify the expected results you want to see from your Action

The next step is to then think about what "results" would need to be evident in order to say this objective has been achieved. We can think of these results as the set of positive changes to the status quo that need to happen to ensure this objective is met. Understanding that organisational change might involve a combined strategy of changing attitudinal culture, implementing a new process or system, these results are usually diverse.

EHRP Example: Nepal: The PEACE Investigative Interviewing Technique: Results

Expected Results:

- *Expected Result 1:* Confident and skilful investigation officers for effective implementation of the PEACE Model;
- *Expected Result 2:* 50% increase in the implementation of the PEACE Model to interviewing suspects/witnesses during investigation process; and
- *Expected Result 3:* The PEACE Model is easier to implement and monitor with an upgraded suspect/witness friendly interview room with a video recording system.

(iii) Design the activities that will achieve those results

The next step is to work out what "needs to be done" by determining what activities could achieve these expected results. The best way to work out which activities to do is to look at each expected result and ask the question: What do we need to do to achieve this? By listing all the activities that need to take place for you to achieve your expected results, you will be able to use this list of activities to guide what needs to happen, by when, and what resources are required, including finances, materials and personnel. From there, participants begin to plan their actions to solve the problem they have identified. This means that an Action Plan begins to be developed.

Figure 11 (an excerpt from our Participant Workbook) explains how to check there is a logical link in the program design.

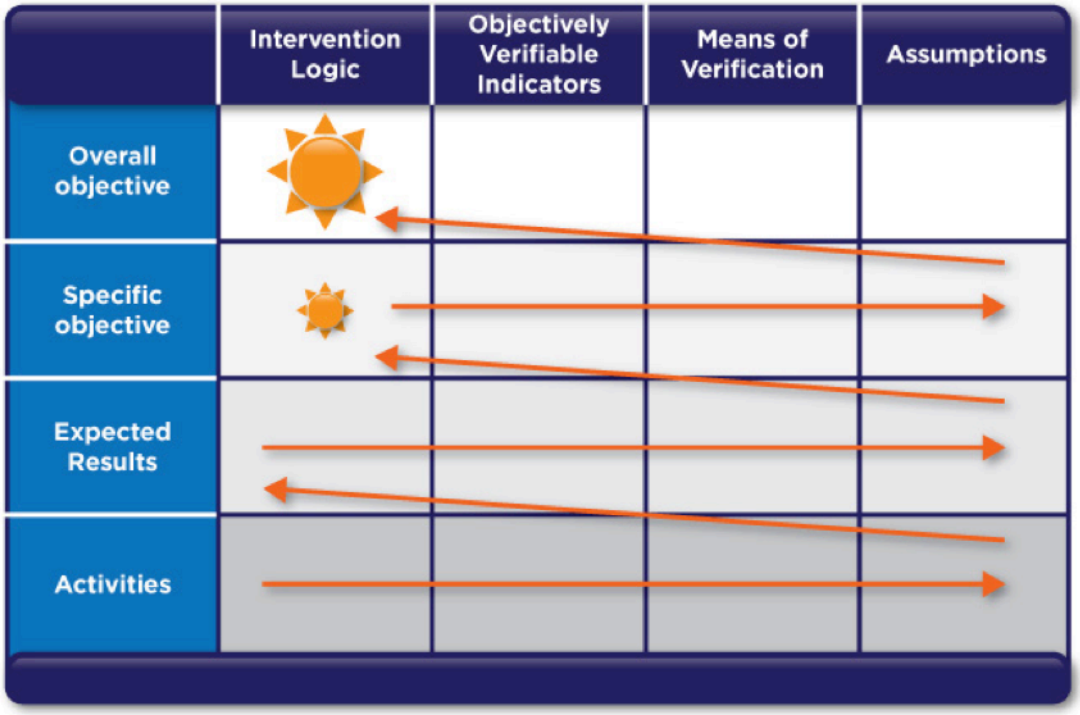

Figure 11: Excerpt from Participant Workbook on program design

If you were to say it out loud, it might sound something like:

- If I do Activity 4 successfully, which I will know if I have met the OVI for that activity and have the MOV for that activity as evidence, AND my assumptions about that activity were correct, THEN I can say that I have contributed to the Expected Result it is connected to.
- If I achieve my Expected Result, which I will know because I have done my activities and because I have met the OVIs for my Expected Results (using the associated MOVs as evidence), then I can say that I have achieved my Specific Objective.
- If I have met my Specific Objective, which I will know because I have achieved my Expected Results of this Specific Objective and because I have met the OVIs for my Specific Objective (using the associated MOVs as evidence) I can then say that my program has contributed to the Overall Goal.

EHRP Example: Nepal: The PEACE Investigative Interviewing Technique: Activities

Expected Results 1- Activities:

- Hold meetings with relevant personnel to introduce them to the concept of the project;
- Training on PEACE model and change management- formal classes; and
- Active demonstrations of PEACE Model by trained officers.

Expected Result 2- Activities:

- On the job training on PEACE Model; and
- Practice of PEACE Model.

Expected Result 3- Activities:

- Provision of separate interview room
- Provision of video recording system.

(iv) Set indicators to evaluate the results of your Action

Already at this Action Planning stage, the indicators that will be used to evaluate if the results have been achieved need to be worked out. The project needs to be evaluated through **"Objectively Verifiable Indicators" (OVIs) and "Means of Verification" (MoVs).** The **OVIs** and **MoVs** take you from planning what you will do and what you want to achieve to asking how you will know if you have done what you had said and achieved what you had hoped. More specifically **OVIs** are the indicators that tell you if the objective and results have been achieved and if the activities have been undertaken. The **MoVs** are the actual sources of information for the OVIs.

These 5 steps then result in a **logframe matrix** or a Project Plan or Action. An example is shown on the next page.

(v) Work out which stakeholders are going to be involved and how

As in any situation that results in organisational change, those seeking to bring about change are likely to experience resistance to change from colleagues, staff, managers and other stakeholders. In order to spread the influence of the project as widely as possible, the activities should include the cooperation of as many stakeholders as possible, including members of the community who potentially become the victims of use of force.

EHRP Example: Nepal: The PEACE Investigative Interviewing Technique			
	Action	**Objectively Verifiable Indicators**	**Means of Verification**
Goal	A human rights friendly criminal justice system		
Objective	Effective and efficient use of the PEACE model to interview suspects/witnesses without use of force		
Expected Results	**Expected Result 1:** Effective and efficient use of the PEACE Model to interview suspects/witnesses without use of force.	Increase in the overall witness interview performance of the officers based on pre- and post-test interviews	Pre- and Post-test interview results
	Expected Result 2: 50% increase in the implementation of PEACE model to interviewing suspects/ witnesses during investigation process	Investigation officers moved from an accusatory interview to one of developing information from victims, witnesses, and suspects	Witness Interview preparatory plan document
	Expected Result 3: The PEACE model is easier to implement and monitor with upgraded suspect/ witness friendly interview room with video recording system	Operational interrogation room with video recording system available for officers trained in PEACE model to use	Testimonies from police officers on the new facilities' impact on their interviews

EHRP Example: Nepal: The PEACE Investigative Interviewing Technique			
	Action	**Objectively Verifiable Indicators**	**Means of Verification**
Activities	**Expected Result 1**		
	Conduct meeting to introduce the concept of the Program	5 meetings held	Minutes of meetings
	Train on PEACE model and change management- formal class	Peace Model training capacitates officers' ability to introduce during the interview, questioning techniques, communication skills, structuring the interview, listening skills, covering the points to prove and overall closing the interview	Training notes from training workshop Attendance sheet Examine the audio/video tape/ Simulated interviewed with trained officers if audio/video tape is not granted
	Demonstrations of PEACE Model	2 demonstrations held	Report/observation of the demonstration
	Expected Result 2		
	On-the-job training on the PEACE Model	7 on-the-job trainings held	Project reports. Observation/field report /mentoring session notes/ observation
	Practice of the PEACE model	6 monthly cases documented using peace model	Case report/DSP's logbook and crime investigation record
	Expected Result 3		
	Provide a separate interview room	A separate interview room is provided/ completed by the time the PEACE Model training is ready to be implemented	Room booking sheet –i.e., used by those officers who are trained to use the PEACE Model. Photos of new room and its features
	Provide a video recording system	A video recording system is established and there is a system of managing video archives and a policy on how to review of footage if necessary	Purchase receipts for video equipment Guidelines on how video is to be archived and review policy

(vi) Create an Action Plan to conduct these activities

One of the biggest challenges with project management is ensuring all activities are implemented on time and that the people doing the activities know who is responsible for what, and when the activities should be completed. To assist with this, participants should map all aspects of their project on a time line.

Tool 8

Provides an example of an *Action Plan* with a timeline for activities to be completed.

(vii) Determine a budget detailing how much the Action is likely to cost

It is likely that the change agents will need additional resources to support their project, requiring a budget. A budget sets out the details of the project's expenses and revenue; it shows how much money they need for each activity and how and where they plan to spend it. The budget should be realistic and itemised to show all of their anticipated expenses. It also should show all contributions to the project including both cash and in-kind contributions and additional support they have for their activity. In-kind contributions are resources and support given to the project from their own organisation, community groups, agencies or businesses.

Ask the participants to consider:

- What items or resources do you need for each activity? For example, space, staff, equipment, training or other things like advertising, posters, leaflets, info sheets, policy documents, printing etc.
- What items or resources cost money and how much? For example, the example project may need money for meetings space, snacks for meetings, printing the register and pens to fill it in etc.
- What can you anticipate you will receive as in-kind contributions?
- What other funding sources contribute to the project, if any? How much and what is the money for?
- How much total funding do you need? How much total funding do you have?
- By the end of this task, change agents should have the following:
- A budget that clearly shows what items or resources they need for each activity.
- A budget that shows how much money they need and how they plan to spend the money.
- A budget that shows what in-kind contributions they are getting or which other sources are contributing to the project.

Tool 9

Provides some examples of a *sample budget and financial reporting* tasks. See Tool 2 for a blueprint regarding the delivery of the Action Planning Workshop.

Step 7: Support Workplace Action Plans

The change agents return to their workplace and put into place their Action Plans.

After the Action Planning Workshop, the change agents return and commence delivery of their chosen project. This will need to be for a period of at least six months. Note, it is very possible that they will not have completed the Action Plans at the second workshop and that the first part of Step 5 will be to provide one-on-one support to do so. Once the Action Plans are completed, including a time frame, a budget and an evaluation plan, they may need to go back to the leadership of the organisations concerned for approval. Once they are approved, the change agents can commence project implementation. Throughout this period, the change agents are to receive support and mentoring from the local and international teams and can also call upon specialist resources or skills to assist. Examples of Action Plans may include altering workplace practices, delivering specific skills or attitudinal change sessions, introducing stress relief practices, and building community relationships.

Nepal	Sri Lanka
Action	**Action**
Strengthen the reward and punishment system in Kakarvitta Area Police Office to encourage personnel to uphold rights-based policing by drafting a guideline for staff conduct and then orienting staff to the new guideline.	Enhance cultural understanding among soldiers who learn Tamil language at the JSLTI, Kotmale.
Design an audio-visual (documentary) on human rights that can be used as a teaching tool during training and piloted it to obtain feedback from staff.	Increase effective mediation skills among police officers in Thalawa and Nochchiyagama Police Divisions. Workshops have trained all levels of staff mediation principles and legal obligations and then engaged personnel in skills-based activities.
Address low staff morale by making promotion processes more transparent by allowing junior staff to have access to their evaluation reports and discuss the results with a more senior staff member. A workshop on stress management was also delivered.	Address poor police attitudes towards minority groups in the army by including simulated training in managing roadblocks and checkpoints that included police roles, civilians and observers. The scenario was followed by more targeted training regarding ethical behaviour.
Reduce mistreatment of drug abusers by enhancing the understanding of police personnel dealing with them that drug abuse is a health, not a criminal, problem and strengthen community-police cooperation.	A Coast Guard is also the Vice Principal of a secondary school. He argued that the cultural acceptance for torture was related to teachers' attitudes to corporal punishment and the frequent use of violence. Through a variety of proactive actions, the culture of the school was transformed from one of fear, hierarchy and control to mutual respect and responsibility. A nearby school has also commenced the transformational process.
Improve good public relations by reducing the stress level and increasing efficiency and performance of the junior police staff working under Operation Department with VIPs. Training includes: stress management communication skills, interpersonal skills, effective listening.	

Step 8: Evaluate the Action Plans

Evaluation criteria, designed as part of each Action Plan, will test what has been achieved.

Evaluation is a critical part of project planning. The presence of a robust evaluation plan has been found to be one of the characteristics of successful prevention programs (Nation et al. 2006). In planning their projects, the change agents need to think about how they will evaluate the results. The evaluation should assess whether the projects have produced results that reduce risk factors or strengthen factors that inhibit the problem that is the focus of your Prevention Program. The type of evaluation that should be encouraged should not only determine actions, but also results. Action-based evaluation is focused on whether actions took place as planned and results-based evaluation is focused on assessing how well the results that the actions were designed to produce were achieved.

Step 9: Disseminate Learnings

The final step will be to find some means of disseminating what has been learned and achieved through the Program. This is particularly important if you are conducting pilot projects in an organisation and hope that the findings will be taken up more broadly.

The project team can work with the change agents to write about their projects, emphasising the results that they achieved and how those results contribute to the overall goal. These can then be disseminated to relevant personnel in the organisation. For example, it may be useful to have meetings with personnel in leadership positions or to produce some type of publication that will clearly indicate what has been achieved and how it is relevant to the overall goal and human rights violation in question.

If considered appropriate, you may also wish to disseminate the results of your Programs more broadly to other relevant organisations.

EHRP Example: Nepal and Sri Lanka

- The EHRP team held a conference in Bangkok in September 2014 to which all the team members and HRPFs were invited.
- The HRPFs presented the outcomes of their Action Plans to the conference.

Goal 2	To build the capacity of junior officers to protect human rights by bringing changes in behaviour
Objective	To reduce the stress level of the personal security officers (PSO) through psychosocial stress management program
Activities	1. Conduct a workshop on stress management including interpersonal relations, communication skills, team work and managerial skills; 2. Place a suggestion box within the unit; 3. Review suggestions by the commander once every two weeks; and 4. Organise debriefing and sharing session with commanders to address concerns and grievances of staff
Evaluation	*Pre-training interviews with staff:* • What are the specific challenges and work related stress you encountered during VIP/VIPPs security? • If you have any concerns and grievances, who do you normally go to discuss them with? • Can you express your grievances anonymously in this unit? • Do you discuss your grievances with your commander? If yes, can you tell us about the process by which you do it? Do you do it during roll call/ as a group/ ask for individual meetings?
	Post-training interviews with staff: • What do you do to deal with this stress? • What are the coping strategies developed? • How do you think that training has improved your interpersonal and communication skills? • What kind of feedback mechanism is put in place for you? Do you openly share your concerns and issues with your commanders? • Does the suggestion box have helped to express your grievances? • Does the commander review and discuss your suggestion?
	Post-training interview with the Commander: • Can you describe how the stress management training has been helpful for your junior staffs? • How did you discuss staff grievances? • Were you able to address the grievances of your staff? • Do you think that the techniques of stress management taught at the workshop have been used by your officers? • Can you give examples of how members of your staff may be using these techniques to deal with their stress? • What kind of suggestion will you recommend to institutionalise training on stress management for overall Nepal police personnel?

THE TOOLKIT

TOOL 1: THE COMMUNITY READINESS MODEL

Research indicates that before we even begin to think about the substance of an intervention, we need to have an eye to the community's readiness to receive prevention messages. A failure to recognise that communities are at different stages in terms of knowledge, attitudes and skills will result in a poor match between community needs and prevention initiatives and will reduce the likelihood of achieving change. On the other hand, if we accurately understand the characteristics of the target audience we can 'pitch' the program at the right level. The type of transformative programs that would be appropriate for a community that does not think that certain behaviours are a problem at all will be quite different to the type of work we might do with a community that has been working on that issue for ten years.

Community readiness is defined as the degree to which a community is prepared to take action on an issue. Of course a community will not be 'ready' to the same extent in every way or uniformly across all members. 'Readiness' is issue-specific and may vary across different segments of a community. The **Community Readiness Model** was developed by the Tri-Ethnic Center for Prevention Research at Colorado State University, originally for alcohol and drug abuse prevention programs, but has been adapted for use in various prevention programs around health, violent behaviour and environmental protection. While it has not, to our knowledge, been used in human rights prevention programs, it could certainly assist in tailoring prevention interventions to ensure that they are appropriately pitched or in developing strategies to assist target audiences in increasing their readiness for more intensive prevention programs. It provides a tool for assessing a community's culture and readiness for change and provides resources to develop and implement change strategies appropriate to the assessed stage of readiness. Readiness is measurable across multiple dimensions (described below), may vary across dimensions and importantly, it can be successfully increased.

The Community Readiness Model comprises a 36 item structured interview schedule that should be used with a small sample of informants. Questions fall within categories assessing the different dimensions: community efforts to address the issue; community knowledge about those efforts; leadership; community climate; knowledge about the issue; and resources for prevention efforts. Examples of questions are: 'Using a scale of 1-10, how much of a concern is this issue in your community?' 'What are the primary obstacles to efforts addressing this issue in your community?' Two people then independently score the answers across the six dimensions, bringing their own scores together and using them to determine where the community sits on the readiness scale across the different dimensions or different issues. Table 5 sets out the different stages.

Stage	Description of community readiness
No awareness	The issue is not generally recognised by the community or leaders as a problem (or it may truly not be an issue).
Denial/ resistance	At least some community members recognise that it is a concern, but there is little recognition that it might be occurring locally. “It’s not our problem.” “It’s just those people who do that.” “We can’t do anything about it.”
Vague awareness	Most community members feel that there is a local concern, but there is no immediate motivation to do anything about it.
Preplanning	There is clear recognition that something must be done, and there may even be a group addressing it. However, efforts are not focused or detailed.
Preparation	Active leaders begin planning in earnest. Community offers modest support of efforts.
Initiation	Enough information is available to justify efforts. Activities are underway.
Stabilisation	Administrators or community decision makers support activities. Staff are trained and experienced.
Confirmation/ expansion	Efforts are in place. Community members feel comfortable using services, and they support expansions. Local data are regularly obtained.
High level of community ownership	Detailed and sophisticated knowledge exists about prevalence, causes, and consequences. Effective evaluation guides new directions. The model is applied to other issues.

The **Community Readiness Model Handbook** provides a number of strategies to assist communities to progress in their development towards greater understanding of a particular issue requiring prevention (Plested et al. 2006). For example, a strategy recommended if the community is at Stage 1 (no awareness) would be to make one-on-one visits with community leaders/members. If the community is at Stage 4 (preplanning), a strategy might be to conduct local focus groups to discuss issues and develop strategies.

EHRP Example: Organisational Influences in a South Asian context

Our literature review indicated that in understanding how practices are perpetuated in organisations, it is useful to analyse the operation of those organisations in terms of their structures, their processes and their cultures. Organisational structures are those aspects of the organisation that create incentives or disincentives for personnel to behave in certain ways or to commit certain acts. Organisational processes are those aspects of the organisation that create opportunities for the improper use of force to occur. Organisational cultures are the everyday ways in which people in the organisation act and speak that transmit 'how we do things around here' and what type of values are considered 'normal' in the organisation. This could then be brought to the sites of our research to ask the following questions.

Organisational structure

- What type of 'capital' is valued in the organisation? For example, what makes for someone being held in high esteem or having a good reputation?
- Are laws punishing individual police who use force improperly enforced? Is there strict supervisory oversight by the judiciary or doctors? Are there strict policy guidelines that explicitly constrain certain behaviours?
- Do whistleblowers get good protection?

Organisational Processes

- What are the conditions of detention, including the positioning of detainees in the overall architecture and layout of the place of detention?
- What type of surveillance is there of personnel while they are with people at risk of being exposed to human rights abuses?
- How do senior officers role model behaviour? What are their styles of leadership, and the manner in which they implicitly support certain types of behaviours?
- What is the length of shifts and the basic conditions under which personnel operate?

Organisational Cultures

- What are the basic assumptions and "taken-for-granted" truths about identity and why things are done the way they are?
- What are the routine ways of categorising the environment and the people encountered in the community? For example, hardened criminals and drug addicts need to be beaten severely if they are to provide any information.
- What are the formal and informal standard operating procedures? For example, when the authority of security forces personnel is challenged, physical violence as punishment may be held to be appropriate.

TOOL 2: RESOURCES FOR WORKSHOP DELIVERY

The following Preparation Workshop and Planning Workshop are set out as workshop blueprints that you may wish to adapt. The blueprints combine the format applied in workshops for the EHRP but the workshop objectives, content, and activities will require adjustment to suit your prevention program. In addition, you may choose various combinations of internal and external workshop facilitators.

Workshop Learning Format

Discussing difficult topics such as torture prevention requires not only good resource materials on which workshop discussions can be based but also the facilitation skills to manage to effect attitudinal change. It is particularly important that the Workshop Facilitators understand the difference between teaching/educating and learning. Learning is more likely to engage behaviour and attitude change.

Learning combines didactic and process methods. A didactic or teaching approach allows workshop participants to learn new concepts. New concepts should be introduced through interactive or media examples and role-plays with concrete examples linked to prevention, rather than a lecture style. A process or learning approach allows workshop participants to link their experiences to the new learning through guided discussion. This guided discussion needs to be able to sensitively manage participants' opinions and attitudes that may contradict or oppose the objectives of the workshop. That is, the Workshop Facilitators cannot become defensive if challenged by participants. A process approach takes on a greater emphasis as workshops progress.

Therefore, whatever content the workshop may have, it is considered best practice for learning and sustainable change to apply **didactic** and **process** approaches to learning.

EHRP Example: Human Rights Training for the New Zealand Police

The "delivery tips" in the Police Manual indicate:

Human rights training can lead to heated debate and raise strong emotions in participants…to be effective in delivering his package, it is important to:
Encourage frank and open discussion…Participants may not agree, however being exposed to many different viewpoints and experiences may cause gradual change to ingrained attitudes.

Avoid a dogmatic, defensive approach to facilitating the material and training. Participants are entitled and encouraged to discuss their views on various aspects of the Human Rights Act and human rights in general. However at the end of the day the HR Act is law and participants are requires to uphold the law and apply the Human Rights Act in policing.

To illustrate this, in the workshop blueprints on the next pages, activities identified by the following symbols will generally follow this pattern:

Consciousness-raising = an experiential warm-up activity or presentation linked to the content.

Content = a didactic activity or presentation to provide information.

Process = an activity or presentation to discuss the content to apply the learning to the change agent's own contexts.

Preparation Workshop

The Preparation Workshop is delivered at the front end of the work with the change agents. The chairs and facilitators can be drawn from various sources such as reference group members, commissioned experts, associates and so on (see Figure 6: EHRP Governance Structure above).

Workshop Objectives

a) To provide the change agents with an overview of relevant human rights and fundamental rights principles in their context.

b) To familiarise the change agents with the Program, the research and the approach, enrol them in the process, and create a sense of ownership and excitement about the Program;

c) To form a support/information-exchange network amongst the change agents;

d) To set the change agents up so that they can go back into their position in the security forces and work within their own context to "map" the situational factors that create conditions in which torture may occur and the strengths and preventative factors on which they can build.

Workshop Plan

The following Workshop Plan is a based on the Preparation Workshops held in Sri Lanka and Nepal to give you a guide of what your workshop might look like.

DAY 1		
Setting the Context		
Timing and facilitator	***Type of activity***	***Task***
9.00-9.15am **Chair: Project Director or leader of the local partner organisation**		*Welcome and brief introductions* Introduce the Suggestion Box.
9.15-9.20am **EHRP Team**		*Explorer, Tourist or Prisoner?* Acknowledge that participants may have different views about the program- ask them to think about whether right now they feel like: The Explorer: you are eager to delve deeply into the subject, you want to really find out more about it; The Tourist: you do not mind having a look around, you are quite interested but do not really like all aspects of what you are experiencing; or The Prisoner: definitely do not want to be here and would rather be somewhere else.
9.20-9.30am **EHRP Team**		*Pre-Workshop Questionnaire*: A questionnaire is given to participants pre-and post-workshop to assess whether attitudes have shifted towards: Enhanced support for human rights; Reduced perceived social distance between participants and suspects/civilians. (See *Tool 10: Workshop Attitude Questionnaire*)

9.30-10.00 am **Senior personnel from the Associate organisations (e.g., Assistant Inspector Generals, retired officers)** **International Security Force Expert**		*Introduce Leadership, Values and Standards* Senior personnel present on leadership in their contexts and what it means to them. International Expert provides a brief overview of the EHRP's theory of change and leadership significance. International Expert sets a task over morning tea for participants to find another participant from a different work area (e.g., police and military) and prepare to introduce each other to the larger group for 2 minutes each.
10.00-10.30am	*Morning Tea*	
10.30-11.00am **International Security Force Expert**		*Introduce colleagues* Following on from preparation over morning tea, participants introduce each other to the larger group. This task is important as it begins to develop a working alliance between the participants across organisations.
11.00–11.30am **Research Director** **Chair, Partner Reference Group**	Manag  	*Program overview* Present an overview of the research Program and its broad findings to date and its application to the current setting.
11.30-12.00pm **International Security Force Expert**		*Ethical leadership* Introduce the concept of ethical leadership and outline the Program mission in a persuasive way.
12.00-1.00 pm	*Lunch*	
1:00-1:15pm **EHRP Team**		*A Card Game to Grasp the Research Findings and Framework* Part 1: Introducing the Activity. See Step 2 in Part 3 above and Tool 3 for detail.

1:15-2:00pm **EHRP Team**		*A Card Game continued* Part 2: A Card Game. See Step 2 in Part 3 above and Tool 3 for detail.
2:00-3:00pm **EHRP Team**		*A Card Game continued* Part 3: Small Group Discussions: Reflect on the activity.
3.00-3.30pm	*Afternoon Tea*	
3.30-5.00pm **EHRP Team**		*A Card Game continued* Part 4: Large Group Discussion: Understanding the causes of torture.
5.00-5.15pm **Project Director** **Chair, Partner Reference Group**		*Reflection* Summarise Day 1 and give an overview of Day 2. Remind participants of the Suggestion Box.
5.15pm	*Close*	

DAY 2		
Mapping the Territory		
Timing and facilitator	***Type of activity***	***Task***
9.00-10:30am **Research Director** **International Security Force Expert**		*Introduce Systems Analysis* Explain to the participants the conceptual model adopted in this approach, emphasising the link with their roles as agents of systemic change.
10.30-11.00am	*Morning Tea*	
11:00-11:30am **Project Manager**		*Goal oriented approach to project planning* Introduce tools used for project planning.
11:30-1:00pm **Project Manager** **International Security Force Expert**		*Conduct a Needs Analysis (SWOT)* Introduce one planning tool. See Step 2 in Part 3 above and Tool 6 for detail.
1.00-2.00pm	*Lunch*	
Planning for Action		
2:00-3:30pm **Project Manager**		*Create a Problem Tree* Introduce another planning tool. See Step 2 in Part 3 above and Tool 7 for detail.
3:30-4:00pm	*Afternoon Tea*	
4:00-5.00pm **EHRP Team**		P*lanning session* Small group work on SWOT Analysis and Problem Tree and then presentation of plans to whole group
5.00-5.30pm **EHRP Team** **International Security Force Expert**		*Final discussion* Provide timelines regarding the completion of a SWOT Analysis and Problem Tree in the workplace. Reflect on the Preparation Workshop. Confirm the date for the Action Planning Workshop (we suggest in three months). Check with participants whether they have any further thoughts and concerns.
5.30pm	*Close*	

Action Planning Workshop

The Action Planning Workshop is delivered mid way in the work with the change agents. The Participant Workbook accompanies the Action Planning Workshop.

Workshop Objectives

a) To identify the most effective intervention and project that can be undertaken by the change agents in their workplace to bring about changes in their respective security organisation that will allow personnel to address and resist torture;

b) To provide the change agents with some ideas and resources that they can draw on in developing and implementing their project;

c) To assist the change agents in developing their projects.

Workshop Plan

Again, the following workshop blueprint is a combination of the workshops held in Nepal and Sri Lanka to give you a guide of what an Action Planning Workshop may look like.

Again use the symbols below to illustrate your plan.

Consciousness-raising = an experiential warm-up activity or presentation linked to the content.

Content = a didactic activity or presentation to provide information.

Process = an activity or presentation to discuss the content to apply the learning to the change agent's own contexts.

DAY 1		
Introduction to Leadership		
Timing and facilitators	***Type of activity***	***Task***
9.00-9.05am **Project Director**		*Explorer, Tourist or Prisoner?* Acknowledge that participants may have different views about the program- ask them to think about whether right now they feel like: • The Explorer: you are eager to delve deeply into the subject, you want to really find out more about it; • The Tourist: you do not mind having a look around, you are quite interested but do not really like all aspects of what you are experiencing; or • The Prisoner: definitely do not want to be here and would rather be somewhere else. *Measure of change* Complete the Scales of Change.
9.10-9.30am **Chair, Partner Reference Group** **Project Director** **Senior member of the Associate organisation**		*Introduction and Program overview* Provide an overview of the objectives of the workshop and its place within the overall Program. Introduce the Participant Workbook. Remind participants of the Suggestion Box.
9.30– 1045am **Local Security Forces Expert**		*Ethical leadership and organisational change* Discuss the importance of leadership and models of ethical leadership as well as motivation.
International Security Forces Expert		*Examples of ethical decision-making* Break the group into small groups to discuss examples of where ethical decision-making had been introduced with positive effect in their setting.
Project Director		*Examples of ethical decision-making continued* Process in larger group.

10.45-11.15am	*Morning Tea*	
Identifying Needs and Problem Solving		
11:15am- 12:45pm **Senior member of the Associate organisation**		*Building relations with civil society and conflict resolution* Introduce conflict management in theory and practice and provide practical examples of conflict management and resolutions.
12.45-1.30pm	*Lunch*	
1.30-2.45pm **Local Security Forces Expert** **International Security Forces Expert** **Project Director** **Research Director**		*Creative problem-solving & ethical decision-making in crisis situations* Provide international and local examples of ethical decision-making in a crisis situation (procedures for the minimum use of force).
2:45-3:45pm **Research Director** **In-country Researchers**		*Needs Analysis* First half of the participants present their SWOT Analysis and Problem Tree to the group for 10 minutes each.
3.45-4.00pm	*Afternoon Tea*	
4:00-5:30pm **Research Director** **In-country Researchers**		*Needs Analysis continued.* Second half of the participants present their SWOT Analysis and Problem Tree to the group for 10 minutes each.
5:30-5:45pm **Project Director** **Chair, Partner Reference Group- Nepal/Chair, Partner Reference Group- Sri Lanka**		*Reflection* Summarise Day 1 and give an overview of Day 2. Remind participants of the Suggestion Box.

DAY 2		
Information Sessions on Selected Topics		
Timing and facilitators	***Type of activity***	***Task***
9:00-9:30am **Project director and director of local partner**		*Introduce Day 2* Acknowledge that participants may have different views about the program- ask them to think about whether right now they feel like: The Explorer: you are eager to delve deeply into the subject, you want to really find out more about it; The Tourist: you do not mind having a look around, you are quite interested but do not really like all aspects of what you are experiencing; or The Prisoner: definitely do not want to be here and would rather be somewhere else.
9:30-11:00am **International Security Forces Expert**		*OPTION A: Investigative Interviewing Techniques – PEACE model* Overview of the PEACE model of investigation to prevent torture in investigations.
OR		
9.30-11.00am **Project Director**		*OPTION B: Creative training and education* Determine how human rights training can be conducted in a way to maximise impact by applying experiential and participatory learning based on adult learning principles.
11:00-11:30am	*Morning Tea*	
11:30-1:00pm **External expert**		*OPTION A: Psychosocial skills* Present information regarding trauma, interviewing vulnerable groups, mental illness and drug/alcohol addiction and provide strategies for managing stress in the security forces.
OR		
11:30-1:00pm **Deputy Inspector General**		*OPTION B: Ethical leadership and decision-making* Provide a police perspective on principles of ethics and good decision-making.
1:00-2:00pm	*Lunch*	

2:00-4:00pm		*Conflict management and resolution* Present on conflict management and resolution regarding armed conflict in theory and practice.
OR		
2:00-4:00pm **Internal or external expert**		*Good practices for organisational change* Demonstrate international good practices leading to organisational change.
4:00-4:30pm **Project Director** **Chair, Partner Reference Group- Nepal/** **Chair, Partner Reference Group- Sri Lanka**		*Reflection* Summarise Day 2 and give an overview of Day 3. Remind participants of the Suggestion Box.
9:00-10:30am **Project Manager** **Project Team**		*Introduce developing projects* Provide conceptual clarity on workplace project design, budgeting, management and evaluation. *Developing projects* Divide into small rotating groups that work on: Design; Budgeting; Project management; Evaluation.
10.30-11.00am	*Morning Tea*	
11:00-12:30am **Project Administration Manager** **Project Team**		*Developing projects continued PART 1…* Divide into small rotating groups that work on: Design; Budgeting; Project management; Evaluation.
12.30-1.30pm	*Lunch*	
1:30-3:30pm **Project Administration Manager** **Project Team**		*Developing projects continued PART 2…* Divide into small rotating groups that work on: Design; Budgeting; Project management; Evaluation.

3.30-4.00pm **Research Manager**		*Explorer, Tourist or Prisoner?* Acknowledge that participants may have different views about the program- ask them to think about whether right now they feel like: The Explorer: you are eager to delve deeply into the subject, you want to really find out more about it; The Tourist: you do not mind having a look around, you are quite interested but do not really like all aspects of what you are experiencing; or The Prisoner: definitely do not want to be here and would rather be somewhere else. *Post-Workshop Questionnaires*  Complete Questionnaires. The items consider whether attitudes have shifted pre-and post-workshop towards: Enhanced support for human rights; Reduced perceived social distance between change agents and suspects/civilians.
4:00-4:30pm **Project Director**		*Explorer, Tourist or Prisoner?* Acknowledge that participants may have different views about the program- ask them to think about whether right now they feel like: The Explorer; The Tourist; or The Prisoner.
Chair, Reference Group		*Summary, thanks, and next steps* Detail implementation of projects in the workplace over the next 6 months and then presentation of some of the projects at the international conference.

TOOL 3: A CARD GAME: FROM RESEARCH FINDINGS TO FRAMEWORK

Game Objectives

This card game is designed as a way for change agents to:

a) Become familiar with the research findings on the causes of the problem and violation;

b) Understand the ecological model or framework s that they can begin to think about the 'levels' of causality and where their work fits in; and

c) Start thinking about how they might develop a project to address a specific cause or causes.

Game Tasks

Task 1: Introduce the activity

The facilitators should explain to the group that they will be taking part in activity based learning as a way of introducing them to the project approach. For some people, not knowing the point of an activity can be difficult, so make them feel at ease by explaining that they do not have to understand what is going on and that it will make sense later on. You may wish to set out the different stages of the activity and how long each will take.

Task 2: Set up the card game

- In this activity, participants are introduced to some of the research about the root causes of the problem by reading different cards on which they are written. Cards are colour coded according to the 'level' of the cause.
- Large cards have the labels *"Individual", "Organisational", "Community", "Political", "Legal",* and *"Ideological"* written on them, each label being on a different colour card. Each large card has a matching set of smaller cards of the same colour. For example, the "Organisational" red card has matching smaller red cards. On the small red cards, we placed the various findings regarding research that had been conducted in the countries where we were working and other countries in South Asia. For example, there were 10 small cards regarding Organisational causes of human rights violations. At the bottom of each card is an added direction "Go to (one of the other large cards)…". This ensures that the card game remains "active" so that participants keep moving around the room while reading research findings. In your case, you may wish to have your cards written in English or the local language depending on the languages spoken by facilitators or participants or one language on one side and the other language on the other. If there are several languages, you should include them all.
- Ask the participants to group around the area and stand near any of the large cards and then pick up the top card from the pile. They should then read it, place it under the pile and go to where that card tells them to go next. They are to then pick up the top card at the next pile they are directed to, read it and place it under the pile and so on. The result is that the participants move around the room reasonably quickly while being directed to various large cards, while reading research findings. Keep going for about 20 minutes and then tell the participants to stop.
- As some of this information can be confronting to participants, there may be some debate amongst participants and challenging of the facilitator, who will need to "roll with resistance".

This activity utilises a set of large cards that cover the different 'levels' or categories at which different causes of the problem were found to operate. In the case of the EHRP the Card categories were based on what the literature review had found regarding the root causes of torture.

In this context, six causal areas were established and the descriptors placed on **BIG** colour-coded and laminated cards:

- Individual: red
- Organisational: blue
- Community: yellow
- Political: purple
- Legal: green
- Ideological: orange

These categories are likely to be useful for other problems but you may wish to vary them.

Then a number of **SMALL** cards were created each with a research-informed statement, followed by and instruction to, for example, "go to Organisational". These **SMALL** cards were colour coded according to the matching big cards. The back of the cards also translated the statement into the local language.

The following provide an example of a statement for each of the causes of torture:

INDIVIDUAL (N = 9 statements)- red cards

Personnel feel very frustrated about their work conditions- long hours (24 hour shifts), sharing beds when resting and disrespect from community members- these pressures can lead to drinking more heavily. (Example: Go to *ORGANISATIONAL*)

ORGANISATIONAL (N = 18 statements)- blue cards

Personnel coerce false confessions out of suspects as they have low salaries, poor working conditions and lack the resources to investigate crime. (Example: Go to *COMMUNITY*)

COMMUNITY (N = 9 statements)- yellow cards

When a serious offence has been committed the media puts pressure on personnel to find the offender fast. (Example: Go to *POLITICAL*)

POLITICAL (N = 7 statements)- purple cards

When political interference occurs, personnel don't care about conducting professional and ethical suspect interviews. (e Example: Go to *LEGAL*)

LEGAL (N = 9 statements)- green cards

Delays in the legal system are so long, that by the time the case gets to court it will be too late and justice will not be done. (Example: Go to *IDEOLOGICAL*)

IDEOLOGICAL (N = 11 statements)- orange cards

Imposing human rights legislation on an organisation without explaining why it is needed, results in cynical distrust amongst personnel. Human rights then just becomes an obstacle to get around. (Example: Go to *INDIVIDUAL*)

TOOL 4: EXPLAINING THE GOAL-ORIENTED APPROACH

Our Project Objective

- Question: What can the Sri Lankan security forces do to enhance human rights protections and reduce the risk of human rights violations within their organisation?
-
- Answer: Our research has shown the best way to facilitate change is to work with leaders who can indentify opportunities for change.

To work with these leaders to provide the support and resources needed to create organisational change = OUR OBJECTIVE.

These leaders are you!

Our Project Goal

- Question: What can the Sri Lankan security forces do to enhance human rights protections and reduce the risk of human rights violations within their organisation?
- Answer: Our research tells use that there are opportunities for improvement in your organisations to protect human rights = OUR GOAL.

These opportunities (GOALS) will be different in each organisation and workplace.

Putting it Together

Figure 12: Explaining the goal oriented approach

TOOL 5: GUIDELINES FOR A NEEDS ANALYSIS (FOR CHANGE AGENTS)

Purpose of This Document

As you are aware from the first workshops, the objective of the Enhancing Human Rights Protections in the Security Sector in the Asia Pacific project is to strengthen the capacity of people in security organisations in Nepal and Sri Lanka to address and prevent human rights violations. Unlike many human rights Programs however, this one does not seek to strengthen human rights by 'teaching' people in security organisations what they 'should' do or telling them what they 'should' know. Rather, it seeks to support the Nepal Police and the Armed Police Force to develop your own organisations in such a way as to reduce the risk of human rights violation and strengthen those practices in your organisations that protect human rights.

One characteristic of this approach is that change needs to be driven from the inside and directed by people who know the organisations best. In other words, the human rights team from the partner organisation and the international partners are there to support your organisations in developing your human rights capacities. This is where you as the chosen change agent comes in.

The purpose of this document is to provide you with clear direction on what we are requesting from you.

It aims to:

- Further enhance your understanding of the Program;
- Facilitate the next step, which is the Needs Analysis process. This document provides you with the guideline for conducting a Needs Analysis, the process and method of the Needs Analysis and the expected outputs from you all; and
- Set out how the EHRP team will be supporting you in this work.

At the very outset, however, we wish to clearly acknowledge that we are very mindful of the difficult and demanding nature of your work and that the tasks involved in this Program may, from one perspective, present an additional burden. We appreciate that in the next months you will be fully occupied with your official tasks. Nevertheless, your superiors believe that your knowledge, skills and insights are invaluable in achieving the objective of strengthening human rights in your organisations. We also believe that your involvement in the Program and the skills and knowledge you will acquire will provide you with unique and important capacities for the future of your careers and your ability to act as ethical and professional leaders.

Background on the Program Approach

This Program uses 'a systems approach' to analyse why human rights violations occur and to work out how to prevent them. The starting point of systems theory is that the ways in which people behave and the views that they have about what is right and wrong are not simply outcomes of their individual choices or personalities. They are the outcome of a range of related factors that operate across 'a system' – factors including the way that the organisation in which they are placed operates, the views held in the society around them, the legal rules and so on. This means that to change an individual's or organisation's behaviour you need to work on addressing different aspects of the system in which they are embedded.

The **first step** in doing this is to **understand** the different aspects of that system. This means identifying the individual, organisational, social, cultural, political, economic and other factors that shape behaviours in such a way that they either respect human rights or violate them. You may recall that in the Preparation Workshop we gave the example of domestic violence and spoke about factors such as general attitudes towards women, the availability of shelters, women's capacity for economic independence, laws sanctioning domestic violence that are actually enforced, alcohol abuse and so on. The team has already conducted a general systems analysis in relation to the use of torture by security personnel in Nepal and your Needs Analysis will continue asking this question.

The **second step** is to work to **change** some of those factors. This involves developing specific projects that address some of the root causes.

The Program has adopted this approach because our research has shown that the reasons security personnel may use violence do not lie in individual moral deficiencies or a lack of knowledge of the law. Rather, such behaviours are the product of a range of factors including their difficult work conditions, incentive systems in their organisations, external pressures, political influence, defective criminal justice system and so forth. As you are aware these research findings were the outcome of detailed interviews with your colleagues in Nepal.

Because there are factors across a number of different levels of the system that shape the behaviour of security personnel, there are a range of levels at which an intervention should take place. Studies have shown that the most effective interventions operate at different levels of the system at the same time and ideally we would be working on a number of them – the law, the political system, cultural and community beliefs and the organisational structures and cultures of the Nepal Police and the Armed Police force. Unfortunately, we do not have access to all levels of the system. In this Program, we are focused on the organisational factors in the Nepal Police and the Armed Police Force.

Our work with you is directed to supporting you to:

- **Identify** aspects of your organisation that create risks of torture or that help to guard against torture;
- **Devise and implement** projects to bring about organisational changes that will either reduce the risks or strengthen protective factors.

For example, risks factors such community expectations of quick identification of guilty parties, pressure by various political parties, lack of appropriate mentoring/supervision, difficulty adjusting to the working environment, high levels of stress, negative attitudes to certain groups, alcohol abuse and so forth will increase the risks of torture. On the other hand, protective factor such as your supportive colleagues, sound working environments, good training, incentives for protecting human right, and strong human rights supportive leadership can act as protective factors.

It is important to note that while this project cannot work at other levels of the system (for example, we cannot change the behaviour of political parties) the work we can do in your organisations may involve supporting personnel to understand the ways in which other levels of the system shape their behaviour so that they can respond with more freedom and thoughtfulness to these other factors. For example, if individual security personnel understand that one of the reasons that they improperly use force on suspects during interrogations is that there is a great deal of community pressure to come up with a guilty culprit, they may engage in community education programs or may be able to create internal processes to shield them from such pressure. Hence, a community education program could be their intervention strategy.

To work out what the best intervention in your part of the organisation will be, you need to conduct a Needs Analysis. We have chosen this as the starting point because we think it is key that individuals within the organisation decide the priorities given they are best placed to understand the realities.

This is the point at which we are now.

Conducting a Needs Analysis

The objective of the **Needs Analysis** is to identify the factors in your workplace that create risks for human rights violations and the factors that protect against violations.

For example, a Needs Analysis:

- Is a way of finding out more what the people around you think about human rights and what they think needs to change to ensure that human rights are fully protected.
- Provides you with the information that you will need to work out the type of project that will change your organisation in an effective and feasible manner.
- Attempts to collect as much information as possible in order to build a comprehensive understanding of the needs and issues facing people in your work environment. Once those needs are understood, it is a lot easier to identify potential solutions. The proposed Needs Analysis should be able to provide information at all four levels of system (i.e., individual level, organisational level, community level and policy/political level). Most important however are the factors at the individual organisational and community levels as this is where we can make a difference.
- Will also provide us with important baseline measures that can then allow us to see if your projects worked. For example, if your Needs Analysis shows that there is significant hostility amongst police to a certain minority group and you introduce a program on cultural competence, you can then see whether at the end of the project, police attitudes to that group have changed.

Step 1: Conducting the Needs Analysis

In order to conduct your **Needs Analysis** you might make use of a number of different methods for researching your workplace:

- You might wish to conduct a survey of your staff regarding their attitudes to human rights, to their job and/or the positive and negative aspects to their workplace, the pressures, challenges and opportunities;
- You might wish to have more detailed material collected by asking the research team to conduct in-depth interviews with your colleagues, subordinates, or other relevant groups.
- To support this primary research and to better understand the ways in which these organisations operate, you may ask seek more secondary information for example:
- You could look at the processes for employment, promotion and discipline to see if they provide incentives to respect human rights;
- You could examine how different groups are seen by your colleagues, how they are spoken about, and what types of interactions your teams have with them;
- You might wish to hold a community forum/meeting to discuss community attitudes to crime, justice, human rights and their perception of the police

As the **Needs Analysis** progresses, it is likely that you all will collect a large amount of information. To make sense out of this information, you will need to pull out the elements which are the most valuable and to work out what type of project will have the most impact on bringing about organisational changes. At the Preparation Workshop, we worked on some of those tools and the team can provide you with on-going support to use them.

Step 2: Making Sense of Your Data for a Needs Analysis

There are many ways to make sense of the information you have obtained. One useful tool for this process is a **SWOT Analysis**: this acronym comes from the four words **Strengths (S), Weaknesses (W), Opportunities (O) and Threats (T).**

	Status Quo of Organisation	Potential for Change and Obstacles
	Strengths	**Opportunities**
Key questions	What does your organisation excel at, both in terms of protecting human rights and reducing use of violence? What are the best qualities of your workplace that allow you to do your job well?	What opportunities for change do you think are possible in your workplace to make it more effective? Are there ways to improve organisational processes or systems to help reduce violence and protect human rights? If so, what are they?
Examples from the Preparation Workshop	Team work, strong leadership, standard operating procedures, dedicated and committed personnel, respect for human rights from the leaders.	More practical training on how to manage crowd control, an active and cooperative community, awareness campaign about human rights down the chain of command.
	Weaknesses	**Threats**
Key questions	What are some of the inhibiting factors or obstacles in your workplace that affect how well you can do your job? What do you think your organisation is least effective at in terms of protecting human rights and reducing the use of violence? Why?	What difficulties might you face in instigating change in your workplace? (And how would you overcome these) What limitations are there within your organisation that might stop change from happening, or from being sustained?
Examples from the Preparation Workshop	Lack of resources, no proper and equal evaluation of work done by all officer, unfair and inappropriate reward and punishment systems, less trained staff, lack of infrastructure support, not sufficient numbers of trainings	High job demands, no time/busy schedule, lack of resources and funding, poor infrastructure to implement changes, political interference

Using a **SWOT Analysis** helps you to organise the information you have researched into four categories. Strengths and weaknesses relate specifically to the different aspects of your organisation that might encourage or inhibit protection of human rights and reduction in the use of violence. These strengths and weaknesses are about the way your organisation is now. Opportunities and threats refer to both the possibilities for change (things that you think can be changed easily within your organisation) and the threats that you might face if you were to try and instigate change in your organisation – this may be internal factors, such as lack of support from colleagues, or external factors such as funding or political interference.

A good way of conducting a **SWOT Analysis** is to ask individuals or a small group to list three ideas under each category in the following order, strengths, weaknesses, opportunities and threats. You could use the table below or ask them to write their answers on small pieces of coloured card.

Step 3: Transforming a Needs Analysis into a Project Design

Once you have conducted a **SWOT Analysis**, you will have enough information to begin thinking about what some possible changes might be, and start planning how you could implement them. One tool to help you do this is a **Problem Tree**. This tool assumes that the first step in any project development is an identified need for change. **Problem Tree** analysis involves identifying what the main problems are and establishing the cause and effect relationships which result in this problem, and which flow on from this problem.

Once these problems are mapped out on a Problem Tree, it is easier to see why a particular weakness exists in the workplace, and what different types of interventions might be possible to help improve or change it.

The **Problem Tree** demonstrates the relationship of cause and effect between the negative aspects of an existing situation through a cause-effect diagram. The "problem" may be one of the weaknesses or obstacles identified in the **SWOT Analysis**. For example, it may be an organisational system, structure or situation that either encourages the use of violence in the workplace, or simply allows violence to happen.

The first step is to identify this problem and put it in the centre of the cause-effect diagram. The second step is to draw a line upwards and list all of the negative effects this problem has on the workplace, on you, on human rights in general. Once you have at least three or four examples, then draw another line upwards from these examples to list the secondary or deeper effect that the problem causes. The third step is to then revisit the problem at the centre and draw lines downwards to the reasons why this problem exists - the causes of the problem. Once you have three or four examples, then draw another line listing what deeper reasons are behind the cause of the problem.

The final step in the **Problem Tree**, and the beginning of project design is to think about what actions you might take, or what interventions you might design that can change the causes of the problem, so the problem will no longer exist or will be mediated better. The key purpose of a problem tree is to try and map out the 'root causes' and focus your project design on these causes of the problems, not the effects. It is the same with any medical treatment – if you only treat the symptoms and not the cause of the sickness, the sickness is likely to continue or return quickly. If you treat the cause of the sickness, it is less likely to continue and return quickly.

When selecting which part of the 'roots' of the problem tree you feel you can have a positive impact on, it is important to remember to think carefully about what is possible with the resources, personnel and skills that are available to you.

We will also be organising individual meetings with each of you to discuss your ideas.

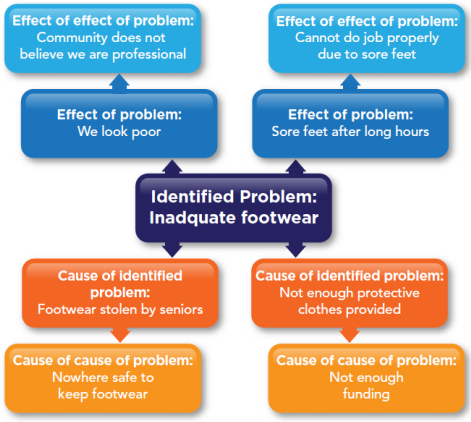

Figure 13: Example of a Problem Tree for Inadequate Footwear

Project Planning

At the completion of the **Needs Analysis**, you will take part in a three-day **Action Planning Workshop**. At this workshop, you will be asked to present your Needs Analysis. The **Needs Analysis**, combined with the **Problem Tree** will allow us to identify a project that you can do in your workplace that will address one or more of the factors that either create risks for torture or that guard against torture.

What you will be needing to think about at this stage is, 'what project will be most effective in bringing about changes in the organisation that will allow personnel to address and resist torture?' You need to be thinking about what is realistic for you to do and what will be effective.

During the workshop you will develop:

- A project plan
- A project budget
- An evaluation scheme so that you can see if it had an effect.

You will then be requested to implement your project in your workplace over the course of the next 6 months. We will provide with you required support in terms of technical inputs, coordination, financial support and other required resources to implement your respective projects.

The final step as we discussed at the **Preparation Workshop** will be for some of you to present those projects at the international conference.

While the identification of possible activities will be the focus of the Action Planning Workshop, we know that some of you may already have ideas. We will also be preparing a document that gives you an idea of some of the types of projects that have been tried elsewhere. You can then decide whether something similar might also work in your environment.

Some initial ideas that have emerged from our research are:

- Training on improving communication skills of your colleagues and subordinates
- Police-community interaction programs
- Implementing mentoring programs
- Developing stress management program
- Providing rewards for human rights respecting behaviours or leadership in human rights
- Cultural competence programs to reduce discrimination against particular groups.

TOOL 6: SWOT ANALYSIS

SWOT analysis tool

Status Quo of your Workplace	Potential for Change and Obstacles
Strengths	Opportunities
Weaknesses	Threats

TOOL 7: CREATING A PROBLEM TREE

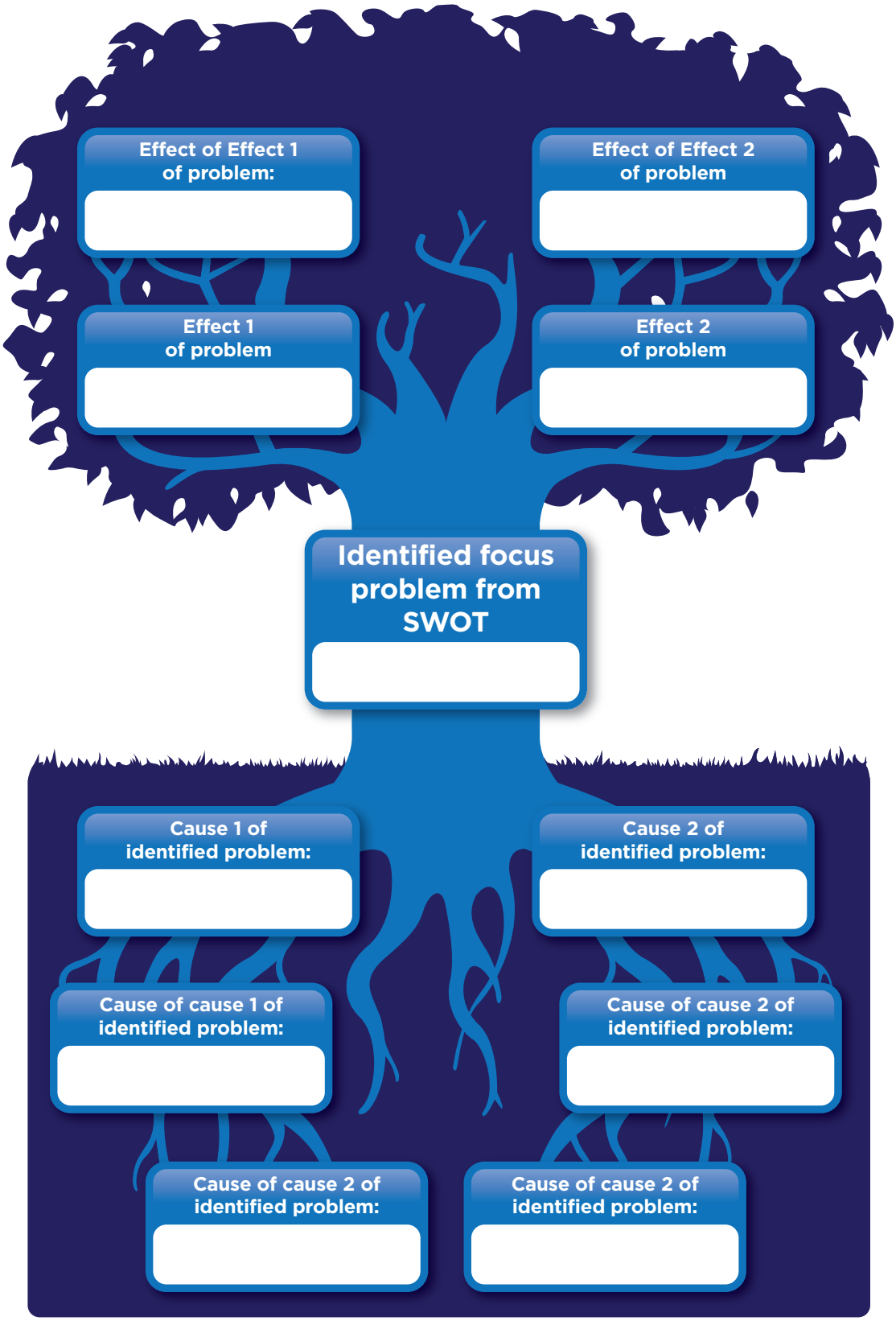

Figure 14: Problem Tree template

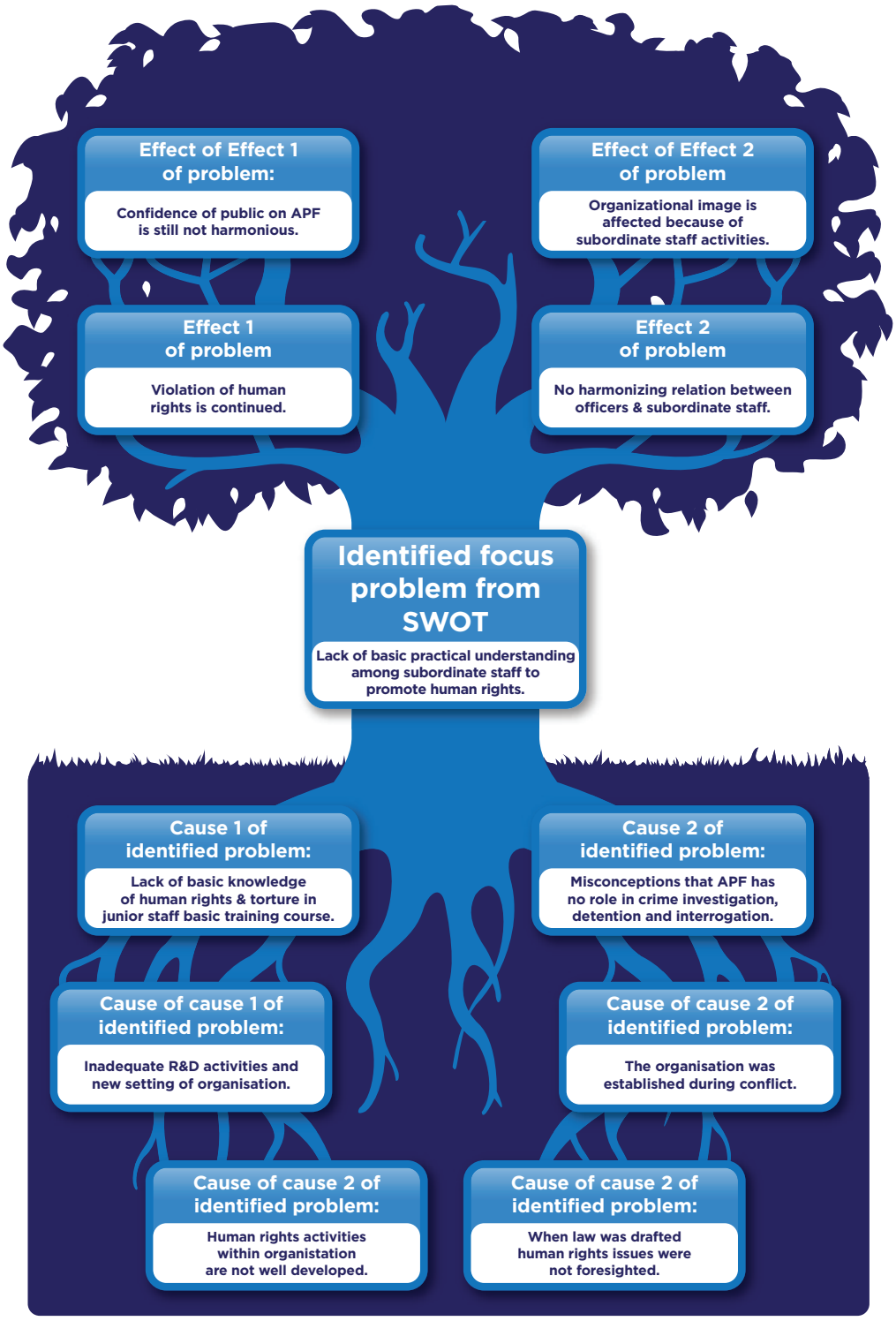

Figure 15: Example of a completed Problem Tree

Example Action plan

ACTION	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	DEADLINE	RESPONSIBLE
Activity 1: Draft Proposal										
Activity 2: Organise meeting with boss										
Activity 3: Draft policy & register										
Activity 4: Meeting with all staff										
Activity 5: Register introduction and policy implementation										
Activity 6: Monthly register review and report to Chief Officer										
MONITORING & SUPPORT										
Team Check in 1		Date:								
Team Check in 2					Date:					
Evaluation with Team								Date:		

TOOL 9: SAMPLE BUDGET AND FINANCIAL REPORTING

Sample budget for reporting

Budget item	Unit	# of Units	Unit Rate (LKR)	Amount requested from project (LKR)	Other revenue (cash) (LKR)	In-kind support (LKR)	Total (LKR)
Human resources							
Typist to type up the policy	1 page	10	60	600			600
Monitor of station register	Per person	25	600			15000	15000
Travel							
Transportation for 10 OICs + 5 ASPs to attend drafting meeting	per person	15	250	3750			3750
Transportation for 25 OICs + 5 ASPs to attend information session on new policy	Per person	30	250	7500			7500
Lunch and Snacks							
Lunch for policy drafting meeting	per person	15	200	3000			3000
Snacks for OIC information session	Per person	30	150	4500			4500
Materials							
Register book for each police station	Per station	25	200	5000			5000
Paper, pens & any other meeting supplies	per meeting	2	1500	3000			3000
Printing & photocopying of policy document & advisory bulletin	Per station	25	50	1250			1250

TOOL 10: WORKSHOP ATTITUDE QUESTIONNAIRE

The following questions are about the improper use of violence in the workplace- military and police- against suspects/civilians.

The questions will address your views and those of your colleagues towards:

- Suspects/civilians
- Improper use of violence against suspects/civilians
- Projects to address the root causes of improper use of violence against suspects/civilians.

Your answers to the questions will remain anonymous and will be used by the researchers to determine whether changes have occurred pre- and post-workshops in order to improve the delivery of the EHRP Program.

Notes about this questionnaire

You are not obliged to complete this survey and if you do not complete it, there will be no negative consequences. The survey results will, however, be useful for the EHRP team in knowing if its approach is effective and making any changes to its approach to make it more effective.

Some questions require you to write answers. If it is easier for you, respond in your own language.

Demographic Data

Your Age: _____

Gender: Male/Female

Section of Security Force and Rank: _____

Questions

1. Torture can be difficult to define. Circle the definition that is closest to the one you would agree with:

    - Definition 1: Physical or mental harm applied to a person in order to punish them or obtain a confession, and this harm is sanctioned by public officials.
    - Definition 2: An act committed by a legal authority specifically intended to inflict severe physical pain or suffering to a person in lawful custody.

2. Even given this definition, there is disagreement about which acts count as torture. Circle the position that you would agree with:

    - Answer 1: Any acts of physical violence or psychological cruelty committed by state officials against detained persons.
    - Answer 2: Extreme acts of physical violence such as using electricity against detained persons.

3. Most countries have agreed to rules that prohibit torture of suspects. Circle which position is closer to yours:

    - Answer 1: Terrorists pose such an extreme threat that governments should now be allowed to use some degree of torture if it may gain information that will save innocent lives.
    - Answer 2: Clear rules should be maintained because any use of torture is immoral and will weaken international human rights standards against torture.

3.1. If you agreed with Answer 1, do you still agree that torture should be permitted in cases that have nothing to do with terrorism?

Yes ____

No _____

4. What qualities are necessary to be an effective security officer who supports human rights?

5. Do you feel your colleagues are lacking some or any of these qualities?

Yes ____

No _____

5.1. If yes, which qualities are these colleagues lacking?

5.2. Again, if yes, what percentage of your colleagues are lacking these qualities?

_____%

6. What strategies do you think would make your colleagues more effective security officers?

7. Do your colleagues support you in addressing violence against suspects/ civilians?

Yes _____

No _____

Please explain your answer:

8. Are there ever any circumstances in which your colleagues might think that violence against suspects/civilians should be tolerated?

Yes _____

No _____

Please explain your answer:

9. Do you think there is a need to develop a project that reduces the likelihood of violence against suspects/civilians in your workplace?

Yes _____

No _____

Perhaps ____

10. Do you think you have the ability to develop a project that reduces the likelihood of violence against suspects/civilians in your workplace?

Yes _____

No _____

Perhaps ____

11. Why is it important for you to develop a project that reduces the likelihood of violence against suspects/civilians in your workplace?

Please explain your answer:

12. How confident are you that you will be able to develop a project plan to address one or more causes of the violence against suspects/civilians in your workplace?

1	2	3
Confident	*Somewhat confident*	*Not at all confident*

Please explain your answer:

13. How great a concern to you is violence against suspects/civilians in your workplace?

1	2	3	4	5
Extremely concerning	*Somewhat concerning*	*Concerning*	*Somewhat unconcerning*	*Not concerning all*

Please explain your answer:

14. How much knowledge do your colleagues have about preventing violence against suspects/civilians in your workplace?

Please explain your answer:

15. Do you know if there have been any evaluations of efforts to address violence against suspects/civilians in your workplace?

Yes _____

No _____

16. Please describe the strengths or opportunities in your workplace that can address any violence against suspects/civilians.

17. Please describe the weaknesses or obstacles in your workplace that can address violence against suspects/civilians.

18. How aware are colleagues in your workplace of strategies to address violence against suspects/civilians?

19. Do you think that current strategies to address violence against suspects/ civilians in your workplace could be improved?

Yes ____

No ____

Perhaps ____

Please explain your answer:

20. Are you committed to make changes in your workplace to address violence against suspects/civilians?

Yes ____

No ____

Perhaps ____

Please explain your answer:

21. How ready are you to put in place a project to address violence against suspects/civilians in your workplace?

1	2	3	4	5
Not ready	*Somewhat not ready*	*Ready*	*Somewhat ready*	*Ready*

Please explain your answer:

22. How much of a concern is violence against suspects/civilians in your workplace to your leaders?

1	2	3	4	5
Not much of a concern	*Somewhat of a concern*	*Unknown*	*Somewhat of a concern*	*A concern*

Please explain your answer:

23. Do you think that your leaders would support a project in your workplace to address violence against suspects/civilians?

Yes ____

No ____

Perhaps ____

24. List three steps you have already taken to address violence against suspects/civilians in your workplace.
a)
b)
c)

OR None _____

25. List three goals you would like to achieve in addressing violence against suspects/civilians in your workplace
a)
b)
c)

OR cannot think of any _____

26. Briefly list three project ideas you may have to address violence against suspects/civilians in your workplace.
a)
b)
c)

OR cannot think of any _____

27. What would you want to achieve the most out of a project you implement?

Some final questions for you. Please answer the following questions by circling the number below each item that shows the extent to which you agree with the statement. There are no right or wrong answers.

28. The suspects/civilians that we have contact with are different from most people.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

29. The suspects/civilians that we have contact with will never change.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

30. Most suspects/civilians that we have contact with are victims of circumstances and deserve to be helped.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

31. You never know when the suspects/civilians that we have contact with are telling the truth.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

32. The suspects/civilians that we have contact with are no better or worse than other people.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

33. You have to be constantly on your guard with the suspects/civilians that we have contact with.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

34. In general, suspects/civilians that we have contact with think and act alike.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

35. If you give a suspect/civilian that we have contact with your respect, she or he will give you the same.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

36. There are some suspects/civilians that we have contact with I would trust with my life.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

37. The suspects/civilians that we have contact with should be under strict, harsh discipline.

38.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

39. Some suspects/civilians that we have contact with are pretty nice people.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

40. Suspects/civilians that we have contact with respect only brute force.

1	2	3	4	5
Strongly disagree	*Disagree*	*Undecided*	*Agree*	*Strongly agree*

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