



## Enabling Police and Corrections Contributions to Peace Operations

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### Introduction

1. This background paper aims to examine the enabling police and corrections contributions to multi-dimensional, integrated peace operations. By reviewing mandates, roles, recruitment practices and pre-deployment training, this paper will highlight current bottlenecks and identify ways that impact on the effective and efficient contributions from corrections and police personnel.
2. As peace operations have evolved from traditional military monitoring operations to the multi-dimensional, integrated operations the UN engages in today, the need for the rule of law capacities, in addition to the military contributions, has become increasingly obvious. The number of uniformed personnel serving in peace operations has doubled since 2001, reaching a high point of more than 101,000 early last year. While military troops remain the backbone of peace operations, the widely recognized need for police and corrections officers has been met with an increase in authorized police deployments from 2,400 in 1999 to the current 17,239 as of November 2011 and for corrections officers an increase in the same period from 2 to 250.
3. The Challenges Forum has focused on rule of law issues by insisting on the inclusion of police and corrections perspectives in its seminars, forums and publications. The *Challenges Police Forum*, held in cooperation with the United Nations Police Division in New York in February 2011, brought together the Police Commissioners and Police Advisers from current UN missions to discuss the challenges of rule of law in contemporary peace operations. In the plenary discussions, main issues identified were: (1) the growing need for larger numbers of police officers including those with specific skill sets to serve in peace operations, (2) the increasing complexity of tasks for UN police, including how to address the emerging issues of transnational organized crime as a spoiler to any peace process and (3) the lack of sufficient number of women police and corrections officers.<sup>1</sup> Also discussed was the need for integrating police activities with those in the broader justice chain, including the often marginalized area of corrections.

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<sup>1</sup> *Challenges Police Forum*, New York, 17 February 2011

4. Addressing the need for all aspects of the justice chain to be included in peace operations is not a new idea. The *Report of the Panel on United Nations Peace Operations*<sup>2</sup> (also known as the “Brahimi report”) is often referenced as the starting point for including justice and corrections as an integral part to rule of law in peace operations. It stated that a greater effectiveness among the host country’s police may, in fact, be diminished if there is not a correspondingly enhanced capacity in the associated areas of the judiciary and corrections.

5. A much needed focus on these issues has been given by the subsequent establishment of the Office of Rule of Law and Security Institutions (OROLSI) within DPKO. At the same time, the Security Council has included justice and corrections aspects in all new peace operations. Currently, there are almost 260 corrections officers deployed in peace operations and Under- Secretary-General for Peacekeeping Operations Hervé Ladsous described corrections as one of the specialized support areas for which there is growing demand.<sup>3</sup>

6. While this paper recognizes the need for all aspects of the justice chain to be included in peace operations, and that challenges to rule of law benefit from a comprehensive approach, the focus of this paper will be on enabling police and corrections contributions.

## Enabling Contributions: Police and Corrections as Peacekeepers and Early Peace-Builders

7. Traditional duties and responsibilities of UNPOL included monitoring, observing and reporting. When equipped with executive powers (e.g. East Timor and Kosovo), UNPOL were responsible for upholding and enforcing the law. Multi-dimensional peace operations have expanded the demands on UNPOL and wider range of duties and responsibilities are structured along three priority areas: interim policing and law enforcement; operational support; and reform, restructuring and (re)building. Specific mandated tasks include:

- Protection of Civilians (PoC);
- Local capacity building through training;
- Community-Oriented Policing and Problem-Solving (COPPS) (also known as Community Policing);
- Elections support;
- Technical assistance (e.g. staffing, selection, recruitment, planning, processes);
- Mentoring and advising.

In addition, emerging duties and responsibilities include dealing with issues of international policing, transnational and organised crime that fuel conflict or impact the safety and security of conflict and post-conflict societies.<sup>4</sup>

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<sup>2</sup> A/55/305-S/2000/809

<sup>3</sup> USG for Peacekeeping Operations Hervé Ladsous speech on *Comprehensive review of the whole question of peacekeeping operations in all their aspects* (24 October, 2011)

<sup>4</sup> To increase the effectiveness of UN Police peacekeeping through more consistent harmonized provision of public safety, police reform and support to local Police, the UN Police Division is developing a strategic doctrinal framework for international police peacekeeping.

8. However, the work of UN police and corrections does not take place in a vacuum. As has been widely recognized, peacekeeping is fundamentally political in nature and profile.<sup>5</sup> Supporting the political process, creating a secure and stable environment and strengthening local institutions are essentially political tasks and it is crucial that mission components recognize their role as primarily political, rather than technical.<sup>6</sup> As has been seen in numerous places, lack of attention to political realities may often result in failed reform efforts.

9. Deployed police and corrections officers work alongside national counterparts to build sustainable peace through strengthening host countries institutions and organizations. While their numbers are drawn from active services in respective Member States, the role which they are expected to fill in UN missions may be vastly different from the duties they have at home. In their UN duties, they will find that in strengthening host countries capacities they are not only acting as police or corrections officers, UN peacekeepers or mentors, but they are also early peace builders, undertaking activities that lay the groundwork for longer term institutional reform.

10. As recently stated by the Under-Secretary-General for Peacekeeping Operations Hervé Ladsous, the reforms the UN supports must be seen within the broader framework of peace, security and development.<sup>7</sup> The World Development Report on conflict, security and development states that countries with the weakest institutional legitimacy and governance are the most vulnerable to violence and instability.<sup>8</sup> New forms of violence link local political conflicts, transnational and organized crime, and internationalized disputes. Moreover, high levels of organized criminal violence hold back economic development.<sup>9</sup> As such, international support and national efforts must address the challenges of infiltration of transnational and organized crime and trafficking networks lest they risk spoiling efforts of establishing security and rule of law, as well as hampering economic development.<sup>10</sup> The emerging partnership between the DPKO and Interpol will help to strengthen the ability to manage these complex challenges.

10. While peacekeepers can assist in peacekeeping and early peace building, it must be recognized that the national counterparts hold the ultimate responsibility for providing security and developing effective and accountable security sectors. Experience shows that peace operations are most effective in supporting reforms when they do not focus too narrowly on their own role of service provision.<sup>11</sup> Too often, the emphasis in rule of law assistance has been on foreign experts, externally constructed models and foreign-conceived solutions, leading to lack of sustainable improvements.<sup>12</sup> Needs and priorities of police services and other rule of law actors will reflect the particular histories and political

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<sup>5</sup> United Nations DPKO/DFS, A New Partnership Agenda: Charting a New Horizon for UN Peacekeeping”, July 2009, p. 14.

<sup>6</sup> United Nations DPKO/DFS, The Contribution of United Nations Peacekeeping to Early Peace building: A DPKO/DFS Strategy for Peacekeepers, p. 4.

<sup>7</sup> USG for Peacekeeping Operations Hervé Ladsous speech on *Comprehensive review of the whole question of peacekeeping operations in all their aspects* (24 October, 2011)

<sup>8</sup> The World Bank, *World Development Report, 2011 Overview* p.7.

<sup>9</sup> The World Bank, p5.

<sup>10</sup> The World Bank, p. 15.

<sup>11</sup> OECD DAC, Handbook on Security System Reform, OECD, Paris, 2007 p 102.

<sup>12</sup> United Nations, The rule of law and transitional justice in conflict and post-conflict societies, Report of the Secretary-General, 2004, S/2004/616, p.6.

developments of their country, and therefore so should any reform.<sup>13</sup> Thus, peace operations must, as is stated by the UN Secretary-General, become better at assisting national stakeholders in developing their own reform vision and should respect and support local ownership.<sup>14</sup>

11. Recognizing that the role of UN police is as much about peace and capacity-building as it is about policing and that it is as much political as it is technical, it stands to reason that seconded officers need more than just policing skills to be able to perform their tasks.<sup>15</sup> Additional skill sets, such as ability to work in partnerships with host countries' ministries, police authorities, courts, prisons, prosecutions, civil society and donors in developing a shared understanding of needs and proposed manners to meet them, are in high demand. Analytical skills are needed to study current constraints of effective policing in its broader legislative and political framework as well as assessing political will for change.<sup>16</sup> As most officers will work in a mentoring or advisory capacity, aptitude and ability to mentor and advise are often essential skills. Above and beyond these general skill sets sought by the UN, is the need to second more specialized officers for deployments to mission police capacities and to focus more on quality rather than quantity. Desired competencies include, inter alia, experts on transnational and organized crime; community-based policing; sexual and gender-based crimes; strategic and operational planning; criminal intelligence; human trafficking and border policing.

12. Similarly, corrections officers are requested to possess not only general knowledge on prison management matters on both an operational and strategic level, but also an in-depth knowledge of international standards governing prisons, including issues related to prison security. In its call for Member States contributions, the UN has asked for corrections officers with background and experience from agricultural projects, prison infrastructure, perimeter control and security experts, training officers, medical planners, health and sanitation specialists and even probation officers.

13. In sum, it can be said that the profile of officers to be considered for deployment as UN police or corrections is three-fold. First, it needs to include experience and knowledge of technical, specialist functions; second, it needs to include an ability to see the role of its service as a supporting one in the larger political framework and an understanding of the political nature of peace operations; and third, it needs to include an in-depth knowledge of international standards and instruments governing the respective fields of work. Some, but not all, challenges emanating from this expanded role can be addressed by enhancing training and recruitment.

## Enabling Contributions: Training

14. For Member States identifying and nominating officers to UN missions, one emerging challenge is that of providing adequate training for staff, taking into consideration the three-tiered profile the officer at hand must fit. While each mission provides brief induction training for new staff, the responsibility for providing pre-deployment training rests with the Member

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<sup>13</sup> OECD DAC, p. 170.

<sup>14</sup> United Nations 2004, 7.

<sup>15</sup> Discussions at Challenges Police Forum, New York, February 2011.

<sup>16</sup> Foreign and Commonwealth Office (UK), "Review of Conflict-Related International Policing", Better World Better Britain, 1 April 2008-31 March 2009.

State. In light of the increasingly complex and multi-layered role played by police and corrections as peacekeepers and early peace-builders, issues related to the preparation phase of deployment have multiplied.

15. In its report on strategic peacekeeping training needs assessment<sup>17</sup> (2008), DPKO ITS examined pre-deployment training programs and found that out of almost 6000 respondents from 17 peace operations and HQ surveyed, approximately only 67% of police and 19% of civilians had received any peacekeeping role training prior to deployment. For military, the number was somewhat higher, with 76% having received training.

16. Progress has been made by DPKO Integrated Training Service (ITS) in developing standardized guidance materials that Member States can draw upon in their pre-deployment trainings, such as Core Pre-Deployment Training Materials (CPTMs) and Specialized Training Materials (STMs). While more and more contributors and training centres are basing their training on the CPTMs and the STMs, the application is inconsistent and incoherent. Moreover, some countries' police contributions are being undermined by a disconnect between training and deployment. Too many instances remain where those who receive training do not necessarily deploy and those who deploy have not necessarily received training.

17. As the CPTM represents the “essential knowledge required by all peacekeeping personnel- military, police or civilian to function effectively in a UN peacekeeping operation”<sup>18</sup>, it is clearly a problem for the effectiveness of a peace operation if only a some of those deployed receive this mission-essential knowledge.

#### Points for Consideration

1. Some contributing countries continue to lack the capacity to prepare their police officers in a self-sustaining manner. This includes the development of training curricula, the delivery of training courses as well as the management of training plans. Regional training centres can bridge some of these gaps, but some training centres are entirely reliant on external financial and professional support. Stronger coordination between DPKO and the regional organizations, and the national and regional training centres could alleviate some of these concerns;
2. DPKO's ITS should clarify the level of support available to contributors in applying the pre-deployment training standards to their curriculum. This should be complemented with improved articulation by DPKO Police Division of the specialized training needs and by disseminating information about the regulatory framework (Concept of Operations, Directives on the Use of Force, strategic planning documents). It is evident that contributors of Formed Police Units (FPUs) are often not clear about the training standards for their units and rely heavily on the support of the Centre of Excellence for Stability Police Units (COESPU);
3. While the importance of pre-deployment training is indisputable and the responsibility of providing such training remains with each seconding Member State, it is worth mentioning that induction training also plays a significant role in preparing officers for their tasks. As all officers receive induction training, this training is an opportunity to provide 100% of officers with a clear message of their role and responsibilities in the

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<sup>17</sup> For full report see [www.un.org/Depts/dpko/dpko/ITS.shtml](http://www.un.org/Depts/dpko/dpko/ITS.shtml)

<sup>18</sup> United Nations, Peacekeeping PDT Standards, Introduction to the Core Pre-Deployment Training Materials, 1st ed. (2009). p1.

specific mission. It is widely understood that it takes a couple of months in mission for officers to understand their role and to become effective. While some time to get adjusted to a new environment is expected, the adjustment time is a high percentage of lost capacity in a six-month or twelve-month deployment. If induction training focused on the actual role and tasks of officers in the particular mission, it is likely that these officers would be ready to be effective much sooner. Moreover, inclusion of local officers in induction training would be a way to forge strong relationships between UN officers and local counterparts; this is also an opportunity to underline that local actors are in the lead and that the UN are there to support the needs of the local counterparts and their process of change;

4. Currently, a corrections specific pre-deployment training manual is being validated by DPKO, which consists of core pre-deployment training modules and specialized training modules articulating the role of corrections officers as mentors with expertise in not only daily prison management skills, but also the international standards and methods to implement these in post-conflict settings. A course based on this manual<sup>19</sup> is regularly organized by the Swedish Prison and Probation Service and has also been organized by SADC and the Kenyan Prison Service, and officers from Ghana, Kenya, Namibia, Uganda, Zambia and all other SADC countries have participated in it. Such practice might become standard for all pre-deployment training of correction officers.
5. How can Challenges partners and participants enable contributing countries' pre-deployment training to ensure that they maximize the outputs in terms of providing the officer with relevant knowledge, not only in international standards governing his or her participation in the mission, but also ensuring that each trained officer is well aware of the role of peacekeepers and early peace builders?
6. Could partner countries conduct joint pre-deployment training courses? Would regional training centers be interested in hosting such multi-national training programs? A remaining challenge related to pre-deployment training for both police and corrections officers is that there appears to be a disconnect between training and actual deployment. How can partners contribute to closing this gap?

## Enabling Contributions: Increasing the number of Women Officers

18. The most obvious gap in recruitment for UN peacekeeping is the lack of women. The United Nations Police Division believes that police and corrections services should represent the societies they serve given the significant role they play in their communities. Women's participation in police and corrections peacekeeping empowers the communities in restoring peace and security and in reconstructing not only their police services, but also their societies.<sup>20</sup> One of the UN Police Division's current priorities is to increase the number of female UN police to 20% by 2014. In 2010 there were 1,215 female UNPOL officers, representing 9% of total police deployments. For corrections, 31 out of 152 seconded corrections officers in October 2011 were female.

19. However, merely increasing the number of women police and corrections officers is not enough. They must have qualitative tasks and be able to compete for all positions. Moreover, in order to empower local communities, women officers must also be deployed to work

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<sup>19</sup> For more information contact the Swedish Prison and Probation Service at [utlandsgruppen@kriminalvarden.se](mailto:utlandsgruppen@kriminalvarden.se)

<sup>20</sup> For more information on the Global Effort: <http://www.un.org/en/peacekeeping/issues/women/>

closely with these communities. Thus, efforts to increase the number of women must also look at where and in what roles women police and corrections officers are deployed.

20. In their on-going consultations with police and corrections contributing countries, the UN has highlighted the need to raise awareness of the work of female police officers in peacekeeping missions. Awareness-raising of top decision-makers on the legal imperatives and operational requirements of having both female and male officers participate in peacekeeping missions is also critical to ensure that countries integrate gender considerations as part of peace building policies.

### Points for Consideration

1. Efforts to increase knowledge of international norms for gender participation in peace operations and of the challenges faced by women in missions could improve through greater numbers of nominations of female officers to peacekeeping. What steps do Challenges partners and participants suggest should be taken that would enable contributing police and corrections countries to nominate more women police and corrections candidates?
2. Activities that target women officers specifically, including all-female pre-deployment training and capacity building workshops for women police and corrections officers, could provide a unique opportunity for them to acquire new knowledge and skills. Women-only learning environments can also provide the context for the facilitation team to focus on weaknesses and strengths specific to women, who often are not provided the same opportunities for regular training as their male colleagues. Working with networks or associations of women police and corrections officers also encourages the sharing of experience and best practices within and among police services.

### Enabling Contributions: Specific Mandates for Corrections

21. The United Nations Principles and Guidelines notes that a successful peace operation depends on a clear and achievable mandate, supported by appropriate financing and political will. This is as applicable in the field of corrections as in any other substantive element of a peacekeeping mission. However, while military and police components are identified in terms of authorized strengths and tasks in Security Council Resolutions (SCR), this is not the case for corrections. A cursory review of existing mandates governing UN missions with corrections units illustrates that correction officers are typically named in the broader context of “within rule of law” and/or with the addendum “...including corrections”. In some mandates, such as Resolution 1925 (2010) for the UN Stabilization Mission in the Democratic Republic of Congo (MONUSCO), the mission is tasked to “[...] develop the criminal justice chain, the police, the judiciary and prisons...” Only one resolution<sup>21</sup> (authorizing MINUSTAH through S/RES 1702 on 15 August 2006), clearly defines the strengths of corrections officers to be deployed by stating that it: “*Authorizes* MINUSTAH to deploy 16 corrections officers seconded from Member States in support of the Government of Haiti to address the shortcomings of the prison system” (p.8; see Text Box 1).

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<sup>21</sup> S/RES/1702 (2006)

### **Corrections Example: The case of MINUSTAH**

*The original mandate for MINUSTAH in 2004 emphasized the need to develop a national strategy for rule of law reform and to work towards institutional strengthening of the judiciary.*

*SCR 1702 (2006) authorized the deployment of 16 corrections officers.*

*During the RBB process of 2009/2010, the number of corrections officers was increased to 24 officers. Following the 2010 earthquake, DPKO allotted 100 of the increased posts for UNPOL to Corrections, giving the Corrections Unit up to 124 corrections posts of which 108 were not reflected in the SCR. Following more recent budgetary processes, the number has now been adjusted to 100.*

*This case illustrates that where a mandate requires that support should be given to national authorities in establishing rule of law functions, there should be some identification of the strength and nature of the required experts to avoid ambiguity in tasking. Such ambiguity also leads to uncertainty in where the corrections element should be placed within the mission. In the absence of clear guidance on strengths and corrections specific responsibilities, missions deal with providing support in different ways.*

### **Corrections Snapshot**

*UN corrections officers, as well as UN Police (UNPOL) are “experts on mission” seconded by Member States at the request of the Secretary-General. Current data indicates that of the eighty-three Member States contributing police to the UN, twenty-two Member States also second corrections officers; in addition, another eight Member States have expressed interest in doing so and are currently processing candidates for nomination.*

*Within a mission, corrections officers report to and are under the authority and direction of a Head of Corrections Unit, who is responsible for the conduct and performance of corrections officer’s duties. S/he is always contracted as a UN professional civilian and is considered as part of the international civilian staff component.*

*However, the posts on which seconded corrections officers are recruited are in some missions, part of the police component’s staffing table and budget. This has caused confusion in some missions as the seconded corrections officers are treated administratively as part of UNPOL, despite having no reporting line to the Police Commissioner. They are, however, administered by the police component in terms of check-in/check-out procedures, assignment of UN assets, compensatory time off, annual leave, sick leave, Mission Subsistence Allowance (MSA), disciplinary matters and performance review (which is not based on the corrections specific duties they perform).*

*Hence, in addition to the challenges that corrections officers have in common with the police, they face an ambiguous organizational placement. Should they be considered uniformed or civilian staff? Corrections organizations are in most—if not all countries—considered to be a uniformed service. Seconded officers wear the uniforms of their respective countries and so are deployed under the same conditions as the UN Police.*



22. The above example indicates that while mandates mention tasks related to rule of law, justice and corrections, how the tasks are actually to be implemented, and in what sequence, is generally left to interpretation, with varying results in terms of effectiveness and efficiency.

23. An additional complication is the absence of a clear organisational identity for corrections officers. In organizational discussions, such as in the C-34 and ACABQ, corrections officers have been identified<sup>22</sup> as “Government Provided Personnel”. While this may be procedurally convenient, it is indicative of a failure to recognize organizational identity. Many actors, both within and external to the UN, remain unaware that corrections officers are seconded to UN missions to assist national authorities in the establishing of functioning, safe and secure prisons that are compliant with human rights and operated in a humane manner by professional staff. As a response to this reality, UN DPKO OROLSI and its Corrections team continue to work to inform partners and collaborators about corrections activities in the field and the importance of including corrections as an integral part of the justice chain in peace operations.

24. The relationship between the deploying of well-trained and efficient UNPOL and the need for equally well trained and efficient corrections officers should be self-evident. When the number of deployed police officers is increased and the national authorities’ police services are enhanced, the numbers of criminal cases leading to arrests multiply; subsequently, the number of persons detained and imprisoned also increases. This in turn leads to overcrowding of prisons that can trigger volatile incidents, such as riots or mass escapes. Examples of such incidents (in Cote d’Ivoire, Liberia, and Haiti) exacerbate security concerns for the host government, as well as the mission. Ensuring that incarcerated individuals are being held for criminal activities, and not arbitrary reasons, working to prevent violent factions within prisons to become spoilers to the peace process, and to lessen or eliminate corruption-based release of dangerous persons requires the attention of the whole justice chain, including corrections officers.

25. Progress has been made in briefing Member States on corrections issues, and the number of countries contributing corrections officers has doubled since 2009. However, there is much that remains to be done. While it is understandable that UN SCR mandates or recommendations made by the Secretary-General or the General Assembly cannot always include the minute details of each actor within a mission, there would be value in creating a category of “other uniformed officers” that would be included in relevant Security Council resolutions, and other normative frameworks guiding peace operations. This would have two benefits: first, corrections officers would be recognized as a separate uniformed service not to be confused with police during critical, as well as non-critical times. Second, resources allocated to police would de facto stay with the police.

#### Points for Consideration

1. How should corrections be administered under current mandates?
2. How should the tasking of Corrections Units in UN SCR mandates be strengthened? Should there be specific mention in terms of numerical strengths of corrections needed in the mission? If the current mechanism for the administration of Corrections Units and corrections officers is not effective or efficient, what improvements should be

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<sup>22</sup> For instance in MONUSCO

made to the current system that would positively impact the utilization of corrections officers?

3. In order to have a higher profile, how can Member States and other partners influence future mandates to include other uniformed personnel needed in a peace operation?
  4. In terms of organisational placement/identity, where should Corrections Units be represented or placed? Should there be a distinct category which identifies specific “other uniformed services”, such as corrections, border control, and customs agents, under one category?
  5. If the organisational identity and tasking issues are not clarified, the larger question for Member States is: what is the value of seconding corrections officers if their role is not clearly identified in the mandates that govern a UN peace operation? Given the gap in information regarding the role and responsibilities of Corrections Units and corrections officers, what can be done to improve the general understanding of the role of corrections in peace operations? What factors would enable contributing countries to provide greater support to this often neglected field of work?
26. In sum, as challenges to rule of law benefit from a comprehensive approach, corrections should be seen as a substantive and vital part of the rule of law component that needs a discrete and clear mandate with the appropriate resourcing. Moreover, supporting the rule of law is a complex endeavour. Training and recruitment practices must recognize the multifaceted and intricate role of UN police and corrections officers to enable effective police and corrections contributions to peace operations.