

Training Manual on Police Integrity



DCAF

a centre for security,
development and
the rule of law

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The Geneva Centre for the Democratic Control of Armed Forces (DCAF) is an international foundation whose mission is to assist the international community in pursuing good governance and reform of the security sector. The Centre provides in-country advisory support and practical assistance programmes, develops and promotes norms and standards, conducts tailored policy research, and identifies good practices and recommendations to promote democratic security sector governance.

PIBP

The Police Integrity Building Programme (PIBP) works with requesting countries in the development, implementation and evaluation of projects undertaken to establish and maintain police services that function with the highest levels of integrity and professionalism. The PIBP operates within the broader framework of DCAF police support in South East Europe in order to promote and assist in the development of police services that perform their duties with integrity.

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The views expressed are those of the authors alone and do not in any way reflect the views of the institutions referred to or represented within this Training Manual.

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Foreword

Ambassador Theodor Winkler, DCAF Director

Established in 2000 as the Geneva Centre for the Democratic Control of Armed Forces, DCAF enhances security sector governance (SSG) through security sector reform (SSR). The Centre's work to support effective, efficient security sectors which are accountable to the state and its citizens is based on the principle that security, development, and the rule of law are essential preconditions for sustainable peace. Integrity building is an issue that is naturally part of DCAF's work.

DCAF remains committed to support local institutions and the international community in their efforts to build, strengthen, and sustain integrity in the police and other security sector institutions. To this end, in 2010 DCAF published the compendium of best practices, Building Integrity and Reducing Corruption in Defence. This publication, a product of cooperation between Transparency International UK, NATO, and DCAF, focuses on concepts and tools for reducing risks of corruption in the defence sector.

In 2012, DCAF published the Toolkit on Police Integrity and established the Police Integrity Building Programme. Both are important contributions for the attainment of DCAF's goals related to building integrity in the police.

With the publication of this manual we hope to further strengthen the capacities of security sector stakeholders and partners to foster good governance practices in the police institutions through upholding integrity as a fundamental principle in their ethos.

Theodor H. Winkler

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Introduction

DCAF's Police Integrity Building Programme - Origins and current strategy

Background

In 2012, DCAF published the Toolkit on Police Integrity (the Toolkit) as its first contribution to this specific area. The Toolkit provides an overview of key strategic areas that must be considered by police organisations in their efforts to effectively prevent, detect, and address instances of corruption in their ranks. Its primary target audience is police managers and decision-makers. The Toolkit puts an emphasis on the importance of strategic assessment and planning, organisational culture, ethical support to police officers, control, and investigation. In order to place the issue of corruption into an integrated perspective of police reform, the Toolkit also addresses the role of external actors in police oversight and control. Building on the important interest generated by the launch of the Toolkit, DCAF conceptualised and established the Police Integrity Building Programme (PIBP). The focus of PIBP is integrity, understood in broader terms than corruption, encompassing, among others, ethics, respect for human rights, professionalism, restraint in the use of physical force, respect towards the citizens/public, and non-discrimination.

The PIBP was designed to assist countries in their efforts to develop and maintain police services that function with the highest level of integrity. It aims to provide guidance to a broad range of actors – government officials, decision-makers, senior/mid-level police leaders, oversight authorities and civil society – on how to develop and sustain police services that function in line with the democratic standards of accountability, transparency, and respect for human rights. The strategy and tools developed in the framework of the PIBP have the potential to be useful to all police services, but especially those in transitional and post-conflict countries around the world, following their adaptation to different local contexts.

PIBP strategy

The PIBP strategy is comprised of two strands which are combined to support police services in developing measures relevant to their needs and context.

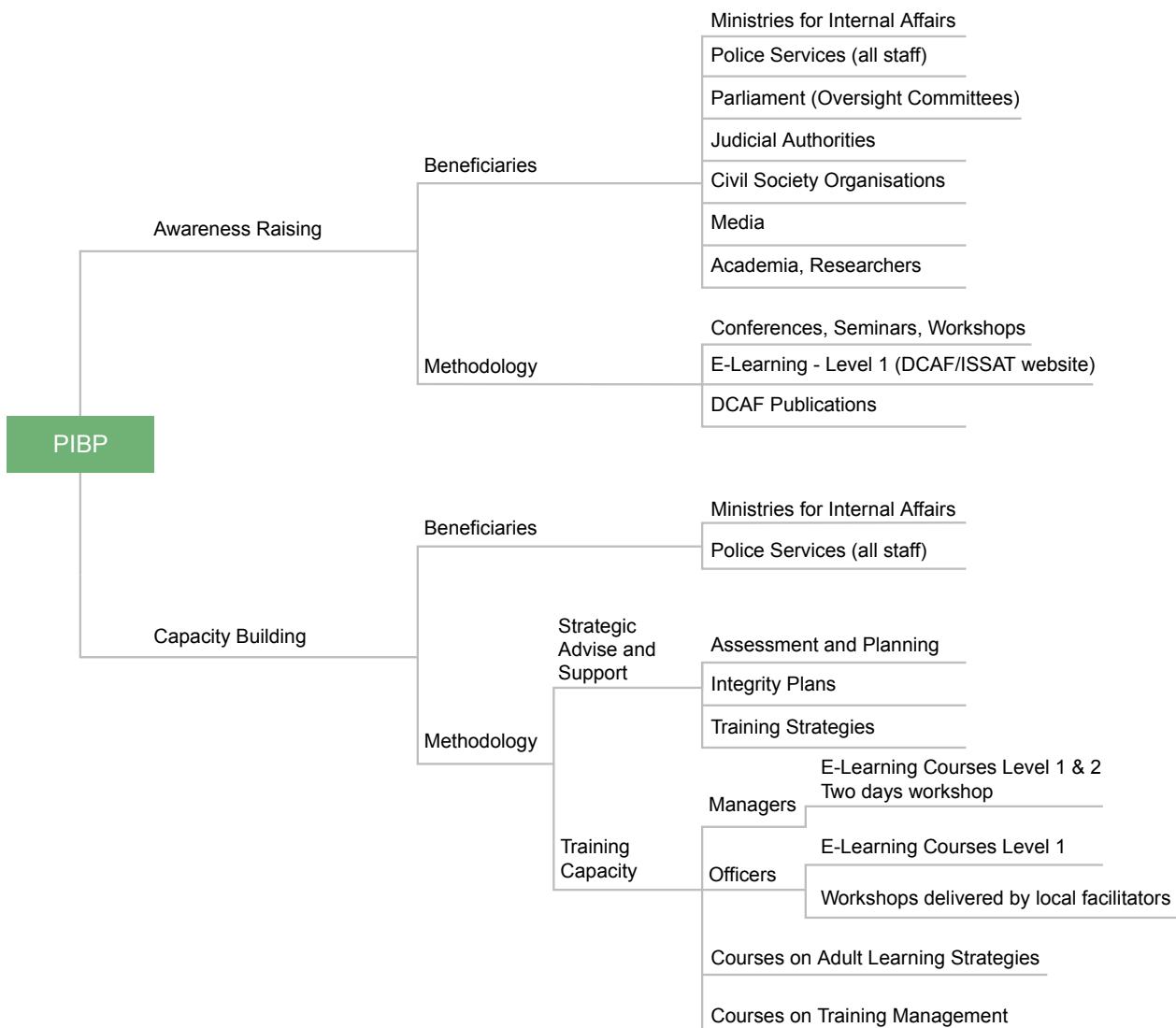
The first strand encompasses different **awareness-raising activities** aimed at stimulating public debate on the topic of police integrity in different countries. To this aim, DCAF has conceived and organised national roundtables bringing together diverse stakeholders, such as representatives of the Ministries of Interior and police, parliamentary committees, prosecution, independent civil oversight bodies, civil society organisations, and the media. These meetings allowed the stakeholders to reach a common understanding of the scope and importance of police integrity. In addition, the participants were able to learn about each other's roles and jointly identify the biggest challenges and the main priorities for strengthening police integrity in their countries.

The second strand of PIBP activities encompasses the development of tailor-made integrity **capacity-building initiatives** in close cooperation with countries that request assistance. Within this strand, DCAF provides a wide range of support, from conducting assessments; providing strategic guidance to local officials in the development of a police integrity plan, to disseminate and implement the integrity plan; assisting in the development of action plans; delivering training to police leadership; or developing in-service training capacities on police integrity for police employees of all ranks.

To support and complement different PIBP activities, DCAF developed two E-learning courses on Police Integrity. E-learning course Level 1 is an introductory course on police integrity for a generic audience, including the police and other relevant stakeholders, whose aim is to provide basic information on the subject and contribute to a development of initial understanding of integrity related issues. E-learning course Level 2 focuses on the role of police managers in building, sustaining, and strengthening integrity mechanisms or systems in the police organisation.

Introduction

Diagram 1 – PIBP Strategy



Training for Police Officers

The present manual was developed to give concrete guidance to trainers and facilitators in order to effectively deliver in-service training on integrity to police officers. The strategy, methodology, and content (modules presented in this manual) were selected drawing from the experience of pilot projects in Macedonia. Nevertheless, the methodology, content, and approach proposed in this manual were reviewed by several DCAF and external experts from different countries. It is therefore anticipated that this manual can be used in any country with necessary adaptations according to the local contexts.

As for the overall strategy, the first step should always consist of an assessment of training needs and training capacities. As for many other organisational processes, it is extremely important to clearly identify existing problems and then decide on the solutions. For this purpose, assessment methodology, planning and a training cycle are particularly important to know in order to successfully complete this phase. These issues are developed in more detail in chapters: 2 - Integrity Planning and Reform, and 1 - Adult Learning - Guidelines for Facilitation.

Introduction

In using this manual, we recommend that a “train-the-trainers” approach is followed to maximise the impact of the training. The following steps or actions should be considered:

1. **Selection of trainers** – with the right profile for integrity training.
2. Organisation of a **facilitation course** for selected trainers.
3. Delivery and review of a **pilot course by the trained trainers**.
4. **Consolidation and adaptation** of the training **manual and methodology** to facilitate further implementation of integrity training to police staff.

1. Selection of trainers

Integrity training is very specific in terms of content and delivery methodology. It requires that trainers have the right profile, in order to maximise the possibilities of learning on the part of the police officers that will attend the training. The following criteria are recommended for the selection of trainers who will facilitate training on police integrity based on the content proposed in this manual:

- **Willingness:** The trainer should demonstrate the will to become a facilitator on integrity.
- **Role model:** The trainer must be a positive role model to peers. He/she must be a good example of integrity, and well accepted by his/her peers.
- **Good communication skills:** The trainer must have good communication skills, verbal and non-verbal, and must be comfortable with public speaking.
- **Work experience:** The trainer must have at least two years of relevant experience in performing operational duties within the police. Ideally he/she should be a police manager (mid- to high-rank).
- **Time availability:** In accordance with needs, but in the beginning it should be a full-time job, at least during the pilot course(s), and until one full cycle of training is completed.

2. Organisation of a facilitation course for selected trainers

The facilitators’ course should be tailored in accordance with the number of participants and their previous experience in training or facilitation. Nevertheless, a minimum of five consecutive days is advisable.

In terms of the content of the facilitators’ course, we recommend that is selected from the topics covered in Chapter 1 Adult Learning – Guidelines for Facilitators, and the modules included in this manual.

3. Delivery and review of a pilot course by the trained trainers

After successful completion of a facilitators’ course, and before engaging on further implementation of the training to all staff in the organisation, it is recommended that the trained facilitators deliver at least one pilot course to their peers. This pilot course represents an opportunity for the trainers and organisers to review and evaluate whether the content and methodology practiced during the facilitators’ course are appropriate for a full scale delivery. Both the content and methodology should be properly assessed by the facilitators themselves and the training organisers. More information on training assessment, review and evaluation is included in Chapter 1 Adult Learning – Guidelines for Facilitation. It is also recommended that the delivery of the pilot course is done immediately after the facilitators’ course, ideally the following week or with one week in between. This will allow that the knowledge and skills acquired during the facilitation course are maximised by being immediately put in practice. If too much time passes between the two phases, there is a risk of loss in training effectiveness.

4. Consolidation and adaptation of the training manual and methodology to facilitate further implementation of integrity training to police staff

It is recommended that a formal revision process is initiated immediately after the delivery of the pilot course. The facilitators and training organisers should come together to discuss the results of the pilot course and revise the content and methodology accordingly. This process will allow for the training to respond to the specific needs of the organisation.

Nevertheless, it should be kept in mind that the training process is a cycle that is never concluded. That means that there is a constant need to continuously review, evaluate, and adapt to new circumstances.

All of the above issues, related to methodology for training organisation and delivery, are developed in Chapter 1 Adult Learning – Guidelines for Facilitators.

Introduction

Training for Managers

PIPB recognises that managers play a pivotal role in building and sustaining integrity within the organisation. They should constantly strive to gain comprehensive knowledge on the topic; show a commitment to integrity; demonstrate the skills to plan, organise, control and coordinate resources; and be a positive role model to their peers. The functions and roles of police managers are further developed in Chapter 2, Human Resources Management and Integrity.

Although this publication was primarily developed to support the facilitation of training for police officers, it is also relevant for managers with some adaptations. Police managers, regardless of their rank, need formal training opportunities related to integrity. In terms of training content, some of the topics proposed in this training manual for officers are also useful to discuss with managers. However, other relevant subjects must also be added in order to respond to managers' specific roles and learning needs. A proper training needs assessment must be conducted to identify those needs.

The training methodology must also be tailored to respond to the needs derived from managers' specific roles and responsibilities. PIPB suggests blended learning as the primary methodology for management training, or the combination of self-paced online and classroom training (please refer to table 1 - PIPB Blended Learning Approach). This approach is particularly suitable for managers because they tend to have less time available for training and they usually prefer to refresh their knowledge individually rather than risking their credibility in front of peers.

TABLE 1 – PIPB Blended Learning Approach

DCAF Police integrity E-learning course		DCAF Police integrity E-learning course	WORKSHOP
	LEVEL 1 (E-L#1)	LEVEL 2 (E-L#2)	
Audience	General (Police employees of all ranks, decision-makers, civil society, security sector oversight bodies, international community, researchers etc.)	Police mid- and senior-level managers	Police mid- and senior-level managers
Style	Informative	Informative/Prescriptive	Debate and practice
Aim	Understanding what police integrity is, the concepts related to it and what influences it.	Understanding what the role of police managers in fostering police integrity is.	Discussing key elements of E-learning modules and engage in practical exercises of specific tools for assessment/planning/ change management and reform.
Content	<ul style="list-style-type: none">• Definitions and key principles and concepts• Why integrity is important• Stakeholders involved• Integrity and democratic policing• Individual integrity – values, attitudes and behaviours• Organisational integrity• External influencing factors	<ul style="list-style-type: none">• Principles of management and leadership• Managers roles in integrity• Assessment, planning and change management• Human resources management and development• Monitoring and control• Reform processes	Complementing information provided in E-L#2 and the DCAF's Toolkit on Police Integrity.

This training manual is therefore a tool that can be used for multiple audiences and purposes but needs to be tailored to meet specific needs. It can be used as stand-alone tool or in combination with other resources.

Introduction to the modules

Organising training using the modules presented in this manual

The in-service training strategy for police officers can include the following topics (modules):

1. *Understanding integrity*
2. *Democratic policing and integrity*
3. *Values and attitudes of police officers*
4. *Police integrity legal and regulatory framework*
5. *Police misconduct*
6. *Peer control and reporting of misconduct*
7. *Police accountability*
8. *Gender equality, non-discrimination and police integrity*
9. *Police ethical dilemmas*

You can find an overview of the aims, objectives and descriptions of these modules at the end of this chapter. The topics have been chosen and developed based on DCAF's experience with police integrity training and input from experts and practitioners. They do not cover all aspects related to police integrity, but rather those that we consider directly relevant for police officers from first-level to mid-management.

These modules are designed to work well in sequence. Therefore, if they are well suited to your context, it is recommended to organise two to three training days in a row for each group of participants in order to address all 9 topics. For instance:

- ▶ Day 1: Modules 1-3
- ▶ Day 2: Modules 4-6
- ▶ Day 3: Modules 7-9

Depending on your context, it might however be unrealistic to assign officers to integrity training for more than a day at a time. One could consider facilitating a one-day training course for all officers of a country, region or sector with the help of introductory modules, and, later on, build on this basis during another one-day workshop on more advanced topics.

Nevertheless, this manual is also conceived as a tool box from which you can select only a few modules and/or reorganise them based on your needs. That means that a one-day training course can be also organised with 1 to 3 modules at time.

Course introduction

Before the first module plan, you will find suggested content for a course/training/workshop introduction. Before starting delivering module one, it is important that you emphasise the following elements:

- ▶ Explain the context of this training and why participants are going through an integrity training course.
- ▶ Explain the agenda of the day, the sequence of modules and the links between the different modules that you will address.
- ▶ If the whole training occurs over more than one day, ask participants to make a summary of what was discussed and concluded in the previous training days. Complement if necessary.

Structure of the modules

In each of the modules, you will find the following common elements:

Module overview

The first page of the module helps you prepare your delivery. It displays the course's aim, objectives, duration, required material, short description, and an overview of the module plan.

Module plan

The module plans and suggested activities can be either followed closely in sequence, or used as a tool box. Activities can be adapted, dropped, or complemented. It is recommended that you add examples from your own country and adapt the content to make sure it is relevant to your specific context. The use of multimedia material in your language could also be a useful addition to the suggested activities.

Introduction to the modules

In order to keep time constraints from becoming a factor limiting political will and organisational capacity to let police officers undergo integrity training, the modules and their activities have been made as short as possible. The time indications provided correspond to the minimum time in which a suggested activity can be facilitated. However, it would be very beneficial to have more time at your disposal for each topic in order to allow for longer discussions among participants when there is interest.

During the facilitation of the modules, the achievement of the objectives should take priority over the strict respect of the time. This symbol  in the left margin indicates where in the module an objective should be met. Time allocation among activities should be adapted depending on how much interest the participants have in discussing each issue in a constructive manner.

Make sure you introduce each module and activity, and summarise the key messages at the end.

Handouts

Handouts are meant to be distributed to participants for the completion of the activities. They can easily be photocopied from the manual before the course.

Facilitators' aids

Facilitators' aids constitute support material that do not have to be distributed to participants but that will help you facilitate specific activities and guide discussions towards elements of response.

Background readings

The background readings contain extracts of publications that we recommend you read before starting to prepare the facilitation of your workshop. They will help you feel comfortable responding to questions from participants and facilitating activities and discussions.

Further readings

The list of further readings contains suggested selected publications that would be useful for you to read if you do not feel sufficiently familiar with the topics to be discussed in the module, or if you simply would like to know more about the module's topic.

Participants' handbooks

These are summaries of the key elements from each module that participants should remember. We suggest that you prepare copies of these handbooks related to each facilitated module and that you distribute them all together to participants at the end of the workshops/training courses so that they can carry them away with them. You can also add to these handbooks copies of the relevant legislation or regulation extracts.

Participants

The audience should be police officers from the lowest rank to mid-level managers. From experience, the facilitation of these modules works best with small groups, with a maximum of 15 participants. Groups should be mixed in terms of gender, and can be mixed in terms of specialisation and rank.

Facilitators

We recommend that these modules are prepared and delivered by teams of two to three facilitators. Therefore, one can be in the lead during an activity, fully focused on participants, while the other facilitator supports him/her with the collection of ideas resulting from brainstorming, the distribution of handouts, etc. Moreover, alternating voices and facilitation styles has a positive influence on a course's dynamics and participants' attention. As much as possible, teams of facilitators should be gender-balanced.

Preparing for the course

Make sure you come to the workshop fully prepared, with the required material, the photocopied handouts, student's handbooks etc. We recommend that you prepare a training agenda and distribute copies of it to participants at the beginning of the workshop.

In order to keep the participants' attention, we recommend short training days intersected with regular breaks. Breaks also allow participants to continue discussing the course's topic informally and exchange personal experience. Consider organising refreshments for participants during the breaks as it will keep them energised longer.

Introduction to the modules

Setting a conducive learning environment

As facilitator, it is your responsibility to ensure that both the physical and psychological environments are conducive to learning. Regarding the “physical environment”, we recommend a “U-shape” setting of tables, which encourages participation and exchange among participants and places the facilitators as part of the group. You should also make sure that the psychological environment is safe for participants to freely express their concerns and discuss their experiences.

Course evaluation

At the end of the workshop/training course, you should distribute and collect a participant course evaluation form. This is the opportunity for you to learn how well your course has been received and help you improve some elements in future workshops. If the system in your country allows feedback from these training workshops to be heard at the decision-making level and taken into account in strategic planning, it also a unique opportunity to collect concerns and suggestions from police officers for enhancing the organisation’s integrity system.

All the above issues will be developed in the Chapter 1: Adult learning – Guidelines for facilitation.

Introduction to the modules

Overview of modules, including module aims, objectives and description.

Title	Time	Aim	Objectives By the end of this module the participants will be able to:	Description
1 Understanding integrity	50'	Allow the participants to reach a common understanding of integrity.	1. Discuss definitions of integrity. 2. Relate integrity to associated terms. 3. List components of organisational integrity.	This introductory module aims to clarify the general concept of integrity, not only for the police but for all individuals and organisations. The participants will reflect on different definitions of the term to identify its core components. They will then define terms that are often associated with integrity and how they relate to integrity. Finally, they will reflect on components of organisational integrity.
2 Democratic policing and integrity	60'	Provide the participants with an opportunity to clarify the reasons why integrity is particularly important for democratic policing.	1. Explain the position and functions of the police within a democratic system. 2. Recognise integrity as one of the democratic policing principles. 3. Explain the benefits of police integrity for the society.	This module emphasises why integrity is essential to the police in a democratic society/context. This is done through discussions and exercises on the position and functions of the police within a democratic system, the essential principles of democratic policing and the ways in which integrity in policing benefits society.
3 Values and attitudes of police officers	80'	Generate discussions on the values and attitudes related to integrity that a police officer should have at the professional level.	1. List and explain key professional values that a police officer should have. 2. Recognise that attitudes affect ethical behaviour. 3. Describe components of the attitudes that a police officer should display while performing his/her duties. 4. List core reasons why police integrity is important for the police officer and the police organisation.	As defined in module 1, integrity is the alignment of behaviour with values. The main focus of this module is to identify and reflect on the core police values that lie at the heart of police integrity. This module also suggests activities on how attitudes influence integrity and on the benefits of integrity for the police officer and the organisation.
4 Police integrity legal and regulatory framework	55'	Help the participants identify and analyse international, national, and internal laws, rules, and regulations relevant to police integrity.	1. List international, national, and internal laws, rules, and regulations relevant to police integrity. 2. Identify the relevant parts from the listed documents and their implications in practice.	This module aims to clarify the legal basis of integrity and is organised around the analysis and presentation of laws related to integrity by small groups of participants. This module requires good preparation by the facilitators, who must select the relevant laws and chapters of laws.
5 Police misconduct	65'	Provide opportunities for participants to reflect on police misconduct in order to relate integrity (and lack thereof) to concrete behaviours.	1. Give examples of various types of police misconduct. 2. Categorise police misconduct. 3. Reflect on the consequences of misconduct.	The focus of this module is on police misconduct, or police behaviours resulting from lack of integrity. The participants will reflect on challenges to individual integrity and then discuss types and consequences of misconduct based on a series of case scenarios.

Introduction to the modules

6	Peer control and reporting of misconduct	60'	<p>Raise awareness on the importance and challenges of taking action when faced with alleged misconduct of colleagues.</p>	<ol style="list-style-type: none"> 1. Discuss the need for peer control. 2. Reflect on the existing reporting and protection mechanisms. 3. Discuss the negative and positive consequences of taking action against alleged misconduct of colleagues. 	<p>Drawing on real cases, the participants will reflect on channels and means they have at their disposal for taking action if they witness misconduct by their peers, the consequences of doing so, and its importance for integrity.</p>
7	Police accountability	60'	<p>Allow the participants to discuss the functioning of police accountability mechanisms and their importance for ensuring police integrity, with a particular focus on internal control.</p>	<ol style="list-style-type: none"> 1. List police accountability mechanisms in place in the country. 2. Describe the mission and functions of internal control. 3. Discuss the functioning of internal control. 4. Explain why accountability and internal control are essential for building police integrity. 	<p>This module discusses mechanisms that aim to ensure that the police act as they should in conformity with their mandate. Police officers, like any professional group, often have negative feelings towards control. This module aims to clarify, in a non-confrontational way, the roles and functioning of these mechanisms, and to emphasise that they contribute to preserving the police officers' individual integrity as well as that of the organisation. This module requires preparation from the facilitators on the accountability mechanisms and the internal control systems in place in their country.</p>
8	Gender equality, non-discrimination and police integrity	95'	<p>Provide the participants with an opportunity to comprehend the roles of police officers in promoting the principles of gender equality and non-discrimination.</p>	<ol style="list-style-type: none"> 1. Define gender equality and non-discrimination. 2. Identify the relevance of gender equality and non-discrimination to police integrity. 3. Describe their individual responsibilities as police officers in promoting gender equality and non-discrimination. 	<p>Gender equality and non-discrimination are some of the key values for integrity that police officers should respect. This module looks more closely at why these principles are particularly important and gives police officers the opportunity to reflect on what they can do to uphold these values in their work and workplace.</p>
9	Police ethical dilemmas	60'	<p>Practice ways to deal with and solve ethical dilemmas.</p>	<ol style="list-style-type: none"> 1. Understand what an ethical dilemma is. 2. Practice the resolution of ethical dilemmas through role-play. 3. Analyse ethical dilemmas with the help of two resolution models. 	<p>This module first defines what constitutes an ethical dilemma. Then, examples of ethical dilemmas that the participants have faced will be collected. Finally, through role-playing, the participants will discuss the consequences of the choices available to them and ways to make better choices.</p>

Opening Module

Course overview & expectations

Opening module

Course overview & expectations



Module aims:

- Introduction to the participants
- Provide the participants with an overview of the course
- Allow the participants to introduce themselves
- List the participants' expectations of the course



Learning objectives:

(there are no learning objectives associated with this module)



Time: 20/5 minutes



Required material: : Flip chart or board, markers, tape

	Content	Method/action	Handouts/aids
1	Facilitator's introduction	3'	Presentation
2	Course overview	7'	Presentation
3	Participant's introduction and expectations	10'	Conversation
4	Group dynamics and rules	(5')	Conversation

Personal notes

3'

1. Facilitators introduction



- ▶ Introduce yourself to the participants.

7'

2. Course overview



- ▶ Briefly explain the context of this training. Consider including the main reason for training (i.e. whether it is part of the training strategy, who decided to organise it, whether it is part of a career advancement system etc.)
- ▶ Explain to the participants why this training on integrity is important.
- ▶ Consider using the elements below:

”

As we will see in the whole training, integrity is a characteristic that leads police officers and police organisations to perform in their job as well as possible, for the benefit of society.

Most police officers are people with moral ideals and motivations. They joined the police because they want to contribute to improving the life of their community, to making it safer, and to helping the people. Most of them are very committed to their job and they often put their lives at risk for the good of society, to arrest criminals for example.

Therefore, this training does not mean that you do not have integrity, or that there are any problems with your professional behaviour.

Neither does this training try to impose any behaviour on you, or to change you, because only one can change her/himself.

The aim of this training is to help you reflect on your values, your actions, and how the police organisation supports you to give the best of yourself in your work. The objective of this training is also to help you clarify what your professional ideal is, what types of attitudes and behaviour you would like to avoid at any cost, and what can help you or prevent you from staying close to this ideal.

This training is also an opportunity for you to share your professional experience with other colleagues, be it the trainers or the other participants. Through this professional exchange, you will hopefully be able to identify tools that can support you in performing your duties with integrity, even when it is difficult. Finally, this training might also reinforce your motivation to perform your job as well as you can, with the highest level of integrity.

”

- ▶ Present the agenda for the day(s).

10'

3. Participant's introduction and expectations



- ▶ At this stage ask the participants to introduce themselves and ask them to say at least one expectation of the course.
 - ▶ Consider recording the answers on a flip chart or board.
 - ▶ (If the classroom allows, hang the flip charts on the wall. The expectations should be revisited at the end of the course.)

Personal notes

5'

4. Group dynamics and rules

- ▶ At this stage it is important to inform the participants about the group dynamics as well as some basic rules to be observed during the training.
- ▶ Consider saying to the participants:

”

- All sessions of this training are designed and structured around ‘Adult Learning Theories’ that encourage permanent discussions and group interaction. It is therefore important for the success of the training that you will actively participate during all stages of the course.
- I am not here to teach you. As a matter of fact integrity cannot be taught; it can only be discussed.
- My role here is to facilitate the discussions in hope you can reach the learning objectives of the course.

”

- ▶ Consider using one of the following quotes to illustrate your point. You can either put the quote in a flip chart or in PowerPoint saying to the participants:

“I never teach my pupils; I only attempt to provide the conditions in which they can learn.”
Albert Einstein

“You cannot teach a man anything; you can only help him find it within himself.”
Galileo Galilei

“I cannot teach anybody anything; I can only make them think.”
Socrates

”

Integrity cannot be taught and also cannot be lectured, and that is why we are expecting you to participate actively, share your experience, doubts and opinions in a constructive manner.

”

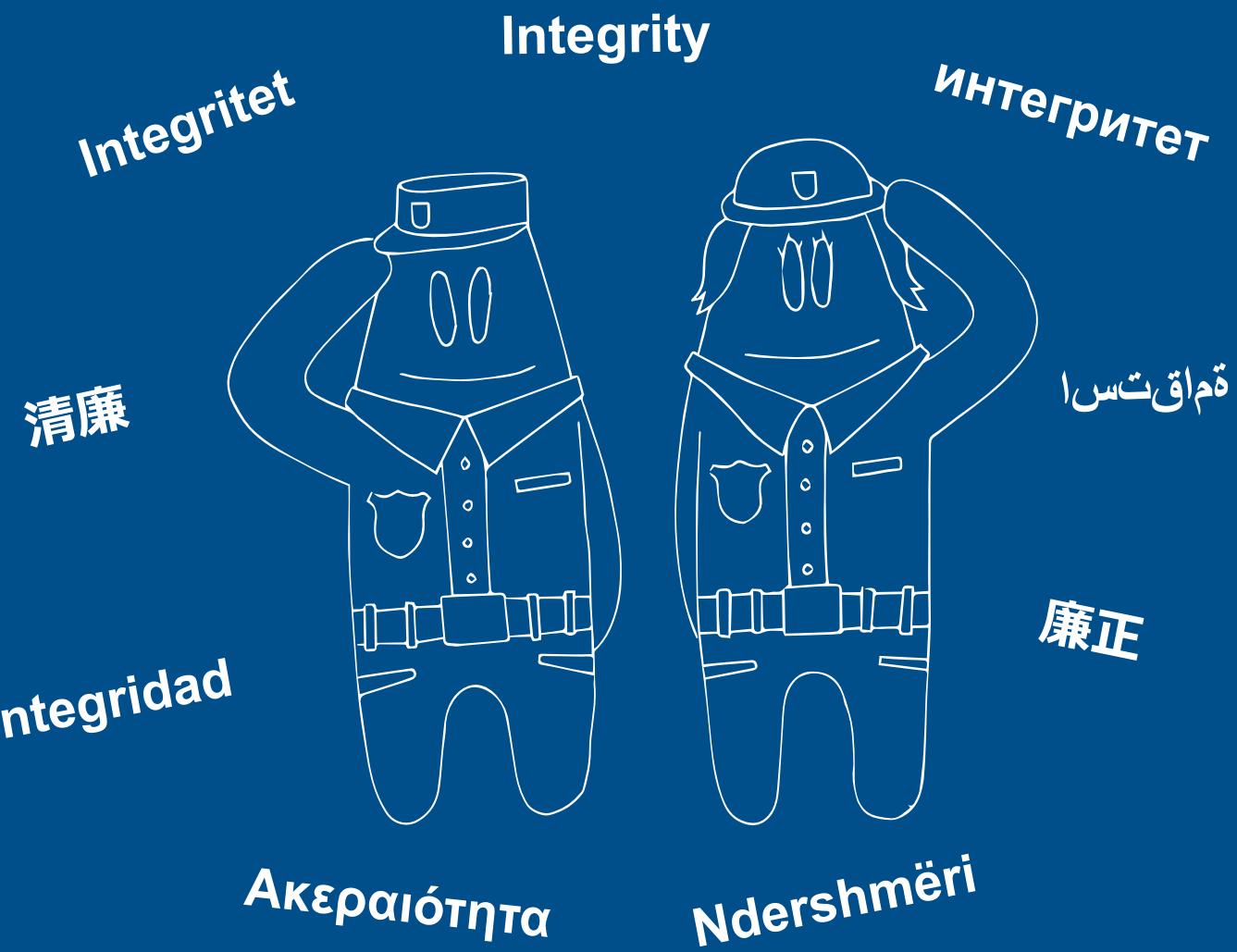
Basic rules to be observed during the training

”

Be aware that this classroom is a safe environment in which you can speak freely. Discretion on what is discussed during the training is required.

”

- ▶ Explain to the participants that all ideas or opinions that are not outside of ethical norms and basic codes of conduct are to be respected.
- ▶ Consider discussing some of the basic rules to be observed during the training, for example:
 - Questions and answer dynamics
 - Appropriate respect for colleagues
 - Use of mobile phones during the class
 - Observation of the time scheduled
 - Any other issue that might be relevant to ensure a proper environment



Module 1

Understanding Integrity

Module 1

Understanding integrity



Module aim:

Allow the participants to reach a common understanding of integrity.



Learning objectives:

By the end of this session the participants will be able to:

1. Discuss definitions of integrity.
2. Relate integrity to associated terms.
3. List components of organisational integrity.



Time: 50 minutes



Required material: Flip chart or board, markers

Content	Method/action	Handouts/aids
1 Introduction	5' Presentation	
2 Definitions of individual integrity	15' Group activity	Handout 1
3 Associated terms	15' Discussion	Handout 2
4 The integrity of the organisation	10' Brainstorming	
5 Conclusion	5' Presentation	

Short description of the module:

This introductory module aims to clarify the general concept of integrity, not only for the police but for all individuals and organisations. The participants will reflect on different definitions of the term to identify its core components. They will then define terms that are often associated with integrity and examine how they relate to integrity. Finally, they will reflect on components of organisational integrity.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Explain to the participants:

“ This module is about defining what integrity is for the individual and the organisation.

”

WHY - Relevance of the module

- ▶ Tell the participants:

“ Integrity is a broad concept that does not have one simple and universal definition. Its meaning is therefore not always clear to everyone. At the beginning of this training, it is important to make sure we all have a common understanding of it. In the next modules, we will discuss integrity in the policing context, but at this stage, we will clarify that integrity is an essential virtue, not only for the police but for all individuals and organisations.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

Personal notes

15'

2. Definitions of individual integrity



- ▶ Divide the participants into small groups of 2-5 people around one table.
- ▶ Distribute one sheet per group with the list of 8 definitions of integrity given by dictionaries, scientists and philosophers (**Handout 1**).
- ▶ Give the participants 5 minutes to discuss the definitions in their group, agree on the choice of one favourite definition, and reflect on why they chose it.
- ▶ Ask each group to tell the others which definition they chose and why.
- ▶ Write the chosen definitions on the flip chart.
- ▶ Explain that none of these definitions are wrong. They all define integrity in slightly different words, emphasising slightly different aspects.
- ▶ Generate a discussion using the following questions:



- What do all of these definitions have in common?
- How would you summarise them all to make your own simple definition of integrity?
- All of these definitions mention two elements, what are they?
- What should be the link between these two elements?
- Is integrity something that one can impose on someone else?



- ▶ Complement and/or summarise with the following recommended elements of response:

All definitions of integrity entail two elements. The first one is what is right: ethical values, moral principles, wisdom. The second one is what you do: your actions and behaviour. Integrity is having the inner personal strength and courage to always link the two, even in difficult situations, even when you get no advantage from it or even risk being disadvantaged by it, even when others want or expect you to behave differently: align your **behaviour** with ethical **values**, **do** what is right.

VALUES=ACTIONS



- ▶ You can choose to display DCAF's definition of integrity:

"Integrity is the principle of consistently behaving in accordance with ethical values."



Notes:

- You are encouraged to add definitions that you like to Handout 1, and replace the dictionary definitions of integrity by those provided in local language dictionaries.
- Instead of a sheet with the list of definitions, you can choose to write each definition on one small piece of paper.

15'

3. Associated terms

- ▶ Introduce the activity, for instance by explaining:

”

Some terms, such as ethics or anti-corruption, are often used in discussions about integrity. In this activity, we will clarify the links and differences between these concepts and integrity.

”

- ▶ Distribute **Handout 2** with definitions of ethics, human rights, honesty and corruption.
- ▶ Tell the participants that these are dictionary definitions of some terms often associated with integrity.
- ▶ Give the participants 3 minutes to read the definitions for themselves.
- ▶ Facilitate group discussion with the questions listed below.
- ▶ Complement and/or summarise with the following recommended elements of response:

?

- How do you think *ethics* are related to *integrity*?

Integrity is a complicated concept because someone might be convinced that he/she is doing the right thing, in accordance with his/her values, but these values are regarded by many others as wrong.

Ethics is a set of values and norms commonly accepted in a society or profession as right (i.e. police ethics). A person who has integrity should have values that are consistent with ethics, and behave ethically.

?

- How do you think *human rights* are related to *integrity*?

Human rights are related to integrity in two ways. Firstly, human rights, such as the right to life, fair treatment, equality, are values that are considered universal and should guide everyone's actions. Secondly, human rights are also part of international and national law, and respecting the law is one behavioural characteristic of people who have integrity.

?

- How do you think *honesty* is related to *integrity*?

Honesty is one value and one behavioural characteristic of integrity. A person who has integrity should value honesty and behave honestly.

?

- How do you think *corruption* is related to *integrity*?

Corruption is one specific type of violation of moral norms and values, along with other types of crimes, misconduct or unethical behaviour. It is one manifestation of a lack of integrity.

Notes:

- If participants think of other important terms related to integrity, discuss their relation with integrity too.
- You are recommended to replace the definitions of associated terms in **Handout 2** by definitions from local language dictionaries.

10'



4. The integrity of the organisation

- Introduce the topic by leading a short group discussion asking questions such as:



- We discussed what integrity is for an individual. Do you think an organisation can have integrity too?
- What do you think organisational integrity is? Think in terms of *all* organisations, public and private, not only the police.



- Conduct a brainstorming using a method of your choice, around the following question:



- What can an organisation put in place to strengthen its integrity?



- Complement and/or summarise with the following recommended elements of response:

- Vision
- Mission
- Values statement
- Code of ethics
- Code of conduct
- Integrity strategy
- Policies
- Training of employees
- Control and discipline
- Leadership and example
- Counselling
- Internal and external accountability (control and oversight)
- Internal and external communication and transparency



Notes: Participants might question the integrity of private organisations. Of course, integrity has special meaning and importance for public organisations. Private organisations often do not have the legal obligation and mandate to work with integrity. However, like individuals, all organisations should strive to enhance their integrity.



- Conclude with the following elements:

Individual integrity is the moral strength of aligning behaviour with ethical values.

Organisational integrity exists when an organisation operates in line with a set of clearly defined ethical values. Values can be defined for instance in the organisation's vision, mission, and code of ethics. These values are integrated into internal processes, by employees, and into the organisation's interaction with its environment. The organisation ensures respect and visibility of these values by appropriate communication, leadership, strategies, policies, rules and control, accountability, and transparency.



5'

5. Conclusion



- ▶ Summarise the main conclusions from the discussions.
 - ▶ Re-emphasise key messages.

Personal notes

Module 1 - Understanding integrity

Handout 1 - Definition of integrity

Instructions: Read all the definitions individually. Agree on one favourite definition by discussing together and arguing why you prefer one definition to the others. At the end, be prepared to share your findings with the other colleagues.

1. "Integrity is doing the right thing. Even when no one is watching." (C.S Lewis)
2. "Wisdom is knowing the right path to take. Integrity is taking it." (M.H. McKee)
3. "Choosing your thoughts and actions based on values rather than personal gain." (Unknown author)
4. "I will have the moral courage to make my actions consistent with my knowledge of right and wrong." (Christian tradition)
5. "Doing what is right, even when it is difficult." (Unknown author)
6. "Integrity is a concept of consistency of actions, values, methods, measures, principles, expectations and outcomes. It can be regarded as the opposite of hypocrisy." (Wikipedia)
7. "The quality of being honest and having strong moral principles." (Oxford dictionary)
8. "Steadfast adherence to a strict moral or ethical code." (The American Heritage Dictionary of the English Language)

Module 1 - Understanding integrity

Handout 2 - Associated terms

Instructions: Read the definitions of some concepts related to integrity.

Ethics

- A system of accepted beliefs that control behaviour, especially such a system based on morals.
(Cambridge dictionaries online)
- A social, religious, or civil code of behaviour considered correct, especially that of a particular group, profession, or individual.
(The Collins English dictionary)

Human rights

- The basic rights and freedoms to which all humans are entitled, often held to include the right to life and liberty, freedom of thought and expression, and equality before the law.
(The American Heritage)

Honesty

- The quality of not being prone to lying, cheating, stealing, etc.; trustworthiness
- Justness or fairness
(The Collins English dictionary)

Corruption

- Abuse of public office for private gain, whether material or immaterial.
(PIBP definition)

Module 1 - Understanding integrity

Recommended Readings for Facilitators

1. Organisational integrity

Independent Commission Against Corruption. “The First Four Steps: Building Organisational Integrity.” Sydney: Independent Commission Against Corruption, 2001.

“Organisational integrity is more than just preventing corruption or having a written code of conduct. It is when an organisation’s operational systems, corruption prevention strategies and ethical standards are fully integrated to achieve the organisation’s purpose. Everyone has a personal set of ethical values, and the vast majority of public officials and staff have positive ethics. But personal integrity is not really the focus here. With organisational integrity the focus is on forming an underlying set of values for your organisation as a whole and integrating them with tried and true corruption prevention strategies and, in fact, with all the workings of your organisation.”

Further readings:

- ICAEW. “Reporting with Integrity: Information for Better Markets Initiative.” ICAEW, 2007: 2-3. <http://www.icaew.com/en/technical/financial-reporting/information-for-better-markets/ifbm-reports/reporting-with-integrity>
- Independent Commission Against Corruption. “The First Four Steps: Building Organisational Integrity.” Sydney: Independent Commission Against Corruption, 2001. <http://icac.nsw.gov.au/publications-and-resources/publications-about-corruption?view=search>
- Klockars, Carl B., Sanja Kutnjak Ivkovic, and Maria R. Haberfeld. “Chapter 1: The Idea of Police Integrity.” In Enhancing Police Integrity. New York: Springer, 2007.

Module 1 - Understanding integrity

Participant's Handbook

Integrity:

Integrity is the principle of consistently behaving in accordance with ethical values.

Individual integrity is the moral strength of aligning behaviour with ethical values.

Organisational integrity exists when an organisation operates in line with a set of clearly defined ethical values. Values can be defined for instance in the organisation's vision, mission, and code of ethics. These values are integrated into internal processes, by employees, and into the organisation's interaction with its environment. The organisation ensures respect and visibility of these values by appropriate communication, leadership, strategies, policies, rules and control, accountability, and transparency.

Associated terms:

Ethics is a set of values and norms commonly accepted in a society or profession as right (i.e. police ethics). Therefore a person who has integrity should have values that are consistent with ethics, and behave ethically.

Human rights are the basic rights and freedoms to which all humans are entitled, often held to include the right to life and liberty, freedom of thought and expression, and equality before the law. They are related to integrity in two ways. First, human rights are values that are considered universal and should guide everyone's actions. But human rights are also part of international and national law, and respecting the law is one behavioural characteristic of persons who have integrity.

Honesty is the quality of being fair and truthful. It is one value and one behavioural characteristic of integrity. A person who has integrity should value honesty and behave honestly.

Corruption is the abuse of public office for private gain, whether material or immaterial. It is one specific type of violation of moral norms and values, along with other types of crimes, misconduct or unethical behaviour. It is one manifestation of a lack of integrity.



Module 2

Democratic policing and integrity

Module 2

Democratic policing and integrity



Module aim:

Provide the participants with an opportunity to clarify the reasons why integrity is particularly important for democratic policing.



Learning objectives:

By the end of this session the participants will be able to:

1. Explain the position and functions of the police within a democratic system.
2. Recognise integrity as one of the democratic policing principles.
3. Explain the benefits of police integrity for the society.



Time: 60 minutes



Required material: Flip chart or board, markers, pens

	Content	Method/action	Handouts/aids
1	Introduction	5' Presentation	
2	Position and functions of police in a democratic system	15' Discussion	
3	Key democratic policing principles	15' Group activity	Handout 1 Facilitators' aid 1
4	Benefits of police integrity for a democratic society	20' Group activity Debriefing	Handout 2 Facilitators' aid 2
5	Conclusion	5' Presentation	

Short description of the module:

This module emphasises why integrity is essential to the police in a democratic society/context. This is done through discussions and exercises on the position and functions of the police within a democratic system, the essential principles of democratic policing and the ways integrity in policing benefit society.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Explain to the participants:

“

By discussing the essential principles of democratic policing and the role of the police in a democratic system, this module will highlight why integrity is one of the key aspects of policing in a democratic society.

”

WHY - Relevance of the module

- ▶ Tell the participants:

“

As discussed in the previous module, integrity is one of the highest virtues for all individuals and organisations. The police officers and the police organisation are no exceptions. As a matter of fact, the police have a special position and role in a democratic society, which makes integrity even more important for them. Through this module, you will be discussing the context and frame of your work, which makes integrity essential and necessary.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

Personal notes

15'

2. Position and functions of the police in the democratic system



- Conduct a discussion with the participants by asking



- What is a democratic system?
- What are the three powers, or branches, of a democratic state?
- What are their roles?

- Allow some time for the participants to come up with their opinions.

- Use the following elements to complement and/or summarise their answers:

A democratic system is a system of governance where the power originates from the people, through free and fair elections. Public authorities are representative of the people they serve and their will. They respect the principles of democracy.

In a democratic system, there are three powers, or branches – the legislative, the executive and the judicial – that each has a distinct role. The three branches have defined abilities to check the powers of the other branches. They exercise the power vested in them by the people for the good of the people.

Power	Role
Legislative	Proposes, drafts, enacts, amends, and repeals laws Oversees the activity of the executive
Executive	Daily administration of the state Executes or enforces the law
Judiciary	Interprets and applies the law

Personal notes

Module 2 - Democratic policing and integrity

- Then ask and discuss:



- What is the place of the police in this system and what is its relation to the people?

- Complement and/or summarise with the following elements of response:

The police are part of the executive power. The police are empowered by the people through the executive to maintain order, stability and security. They have to apply the laws enacted by the legislative power on behalf of the people, for the good of the people. They support the judiciary in its mission but cannot make judgments in a judicial context.



- Conduct a brainstorming around the following question and write answers on a flip chart or board:

- What are the core functions or roles of police in a democratic society?



- Complement and/or summarise with the following elements of response:

- Prevention of crime
- Detection of crime
- Crisis management and emergency measures
- Maintenance of public order, peace and tranquility
- Provision of assistance to the public



- Finally, facilitate discussion around the following question:

- As an institution that is at the service of the public, we as police constantly have to adapt to the changes of society and respond to its new needs. Do you think that the role and function of the police have evolved in the last decades? Have you noticed changes in the way police duties are performed and perceived since you joined the police? How?

Personal notes

15'

3. Key principles of a democratic policing



- ▶ Say to the participants:

“

In order to properly exercise their functions or roles in a democratic society, the police must uphold certain principles. For the purpose of this manual we will call them ‘key democratic policing principles’.

”



- ▶ Introduce group activity:

“

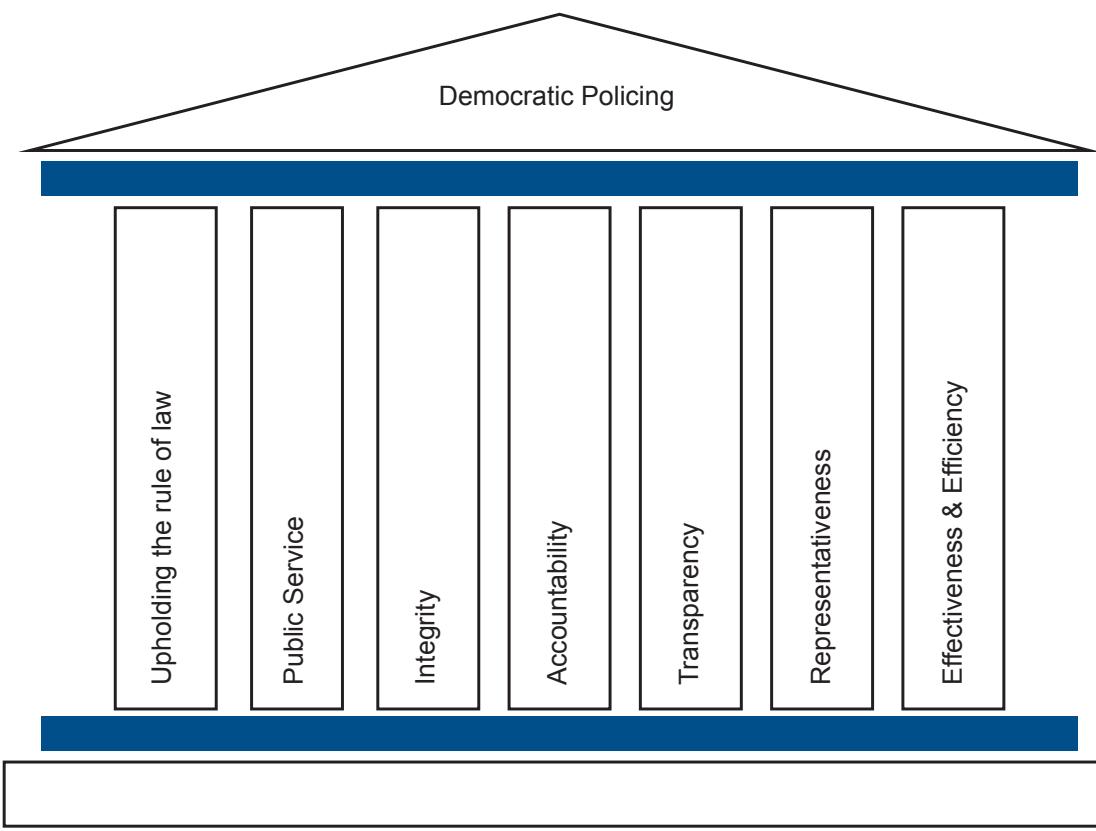
The objective of this activity is to identify 8 essential principles of democratic policing.

”



- ▶ Divide the participants into small groups, each group seated around one table.
- ▶ Distribute one copy of **Handout 1** to each group. Give the participants 5-7 minutes to write the missing key democratic policing principles on the pillars.
- ▶ Explain that the first pillar is already given as an example and that the quotes are there to give them ideas and inspiration on the remaining principles.
- ▶ Debrief with the group by defining and discussing each “pillar” with the help of **Facilitators’ aid 1**.

2



20'

4. Benefits of police integrity for a democratic society



- ▶ Divide the participants into the same small groups as before.
- ▶ Distribute **Handout 2**.
- ▶ Instruct the participants to discuss in their groups for 10 minutes how police integrity can benefit a democratic society with the help of the elements of the figure in the handout.
- ▶ Tell them to get prepared to share their ideas with the other groups.
- ▶ Give the participants 10 minutes for discussion.
- ▶ Debrief with the whole group with the help of **Facilitators' aid 2**.



Note: The elements included in the Handout do not represent an exhaustive list. You and the participants can reflect on other benefits of integrity to society.

3

5. Conclusion



- ▶ Revisit the learning objectives to ensure they are accomplished.
- ▶ Re-emphasise the key messages of the module.

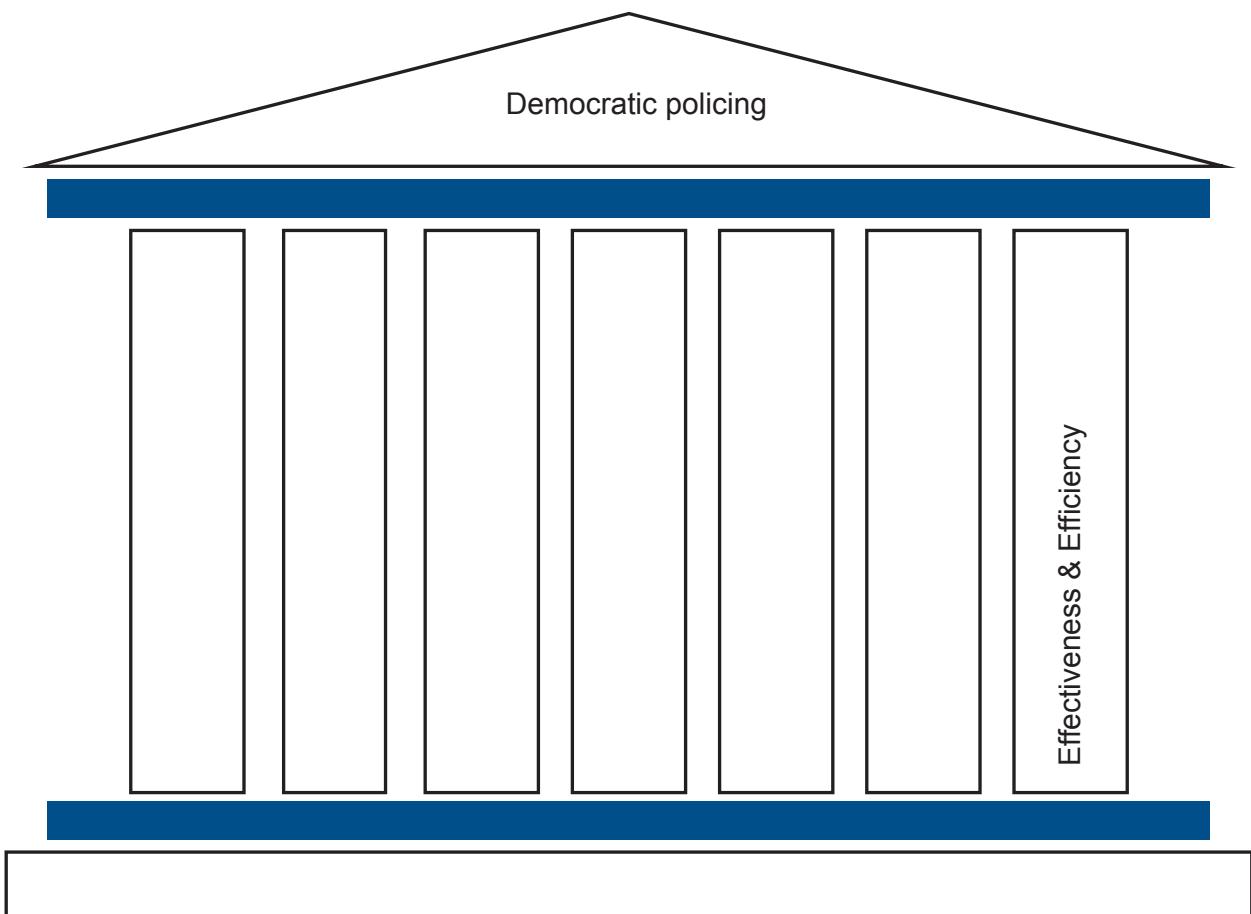
Personal notes

Module 2 - Democratic policing and integrity

Handout 1 - Key democratic policing principles

Instructions: Drawing inspiration from the following quotes, write the 6 additional key democratic policing principles on the 6 empty pillars (one principle per pillar). Police effectiveness and efficiency are already inserted on the last pillar as an example.

1. *"No man is above the law and no man below it."* - Theodore Roosevelt
2. *"The police are the public and the public are the police; the police being only members of the public who are paid to give full time attention to duties which are incumbent on every citizen in the interests of community welfare and existence."* - Robert Peel
3. *"If it is not right, do not do it; if it is not true, do not say it."* - Marcus Aurelius
4. *"A body of men holding themselves accountable to nobody ought not to be trusted by anybody."* - Thomas Paine
5. *"The liberties of a people never were, nor ever will be, secure, when the transactions of their rulers may be concealed from them."* - Patrick Henry
6. *"Police forces should reflect the diversity of the communities they serve."* - Eric Holder
7. *"Efficiency is doing the thing right. Effectiveness is doing the right thing."* - Peter Drucker

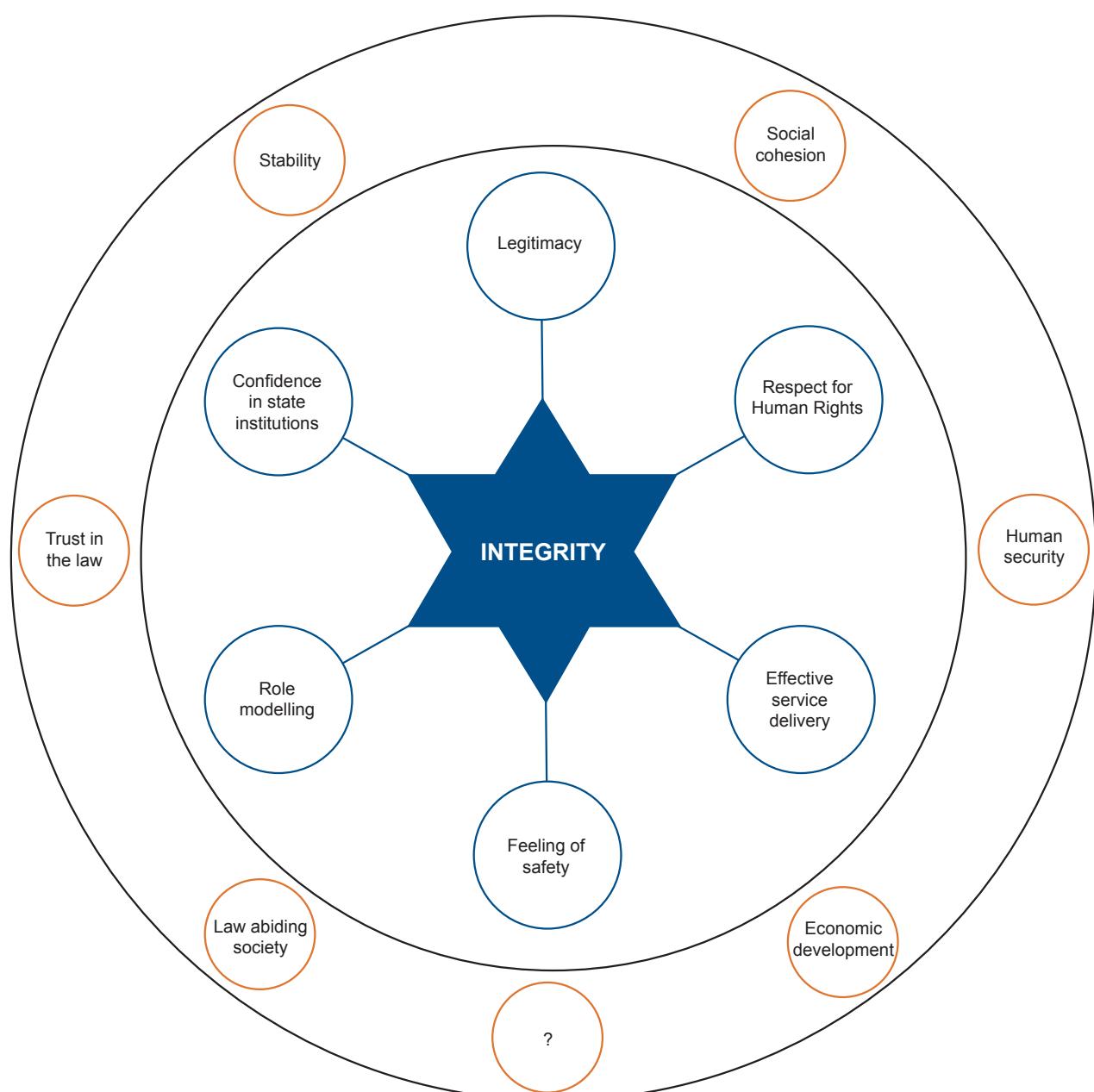


Module 2 - Democratic policing and integrity

Handout 2 - Benefits of police integrity for the society

Instructions:

- You can see below a figure that represents through keywords the reasons why integrity is particularly important for the society.
- In your group, discuss these elements. Try to understand what they might mean, how they relate to police integrity and what are the possible links between them.
- Discuss if there are other elements that are missing.
- Get prepared to discuss these elements with the whole group.



Module 2 - Democratic policing and integrity

Facilitators' aid 1 - Key Democratic Policing Principles

-Upholding the rule of law: In a democratic context, all the citizens, including those who are working in the legislative, executive and judicial branches, are equally bound and protected by the law. Everyone, including the police, must decide and act on the basis of, and in accordance with, existing laws, regulations and the legally binding human rights principles.

-Public Service: The mission and functions of the police aim at promoting the benefit of the public. In particular, the police must strive to respond to the security needs of all groups of citizens.

-Integrity: In the policing context, at the organisational level, integrity signifies that the police organisation has established and operates in line with ethical values. More specifically, police integrity entails that police work is steered by a core set of clearly defined ethical values such as impartiality, fairness, equality, justice, honesty and respect for human rights. Integrity should be promoted by the police organisation through all its levels. At the individual level, police officers uphold the principle of integrity when they align their behaviour with the ethical values set by their organisation.

-Accountability: Accountability means that the police are responsible for their actions and decisions. Hence, police officers and organisations answer for their acts and can be held accountable for them (e.g. by parliamentary oversight, review and monitoring by independent oversight bodies such as ombuds-institutions, elections, sanctions in case of an arbitrary decision).

-Transparency: Transparency signifies that policies, laws, budgets, and information on decisions and activities of the police are easily accessible to the public. Information should be relevant, of good quality and provided in a timely manner. Lack of such information hinders accountability because the citizens will not be able to evaluate and scrutinise the way the police exercise the special powers vested in them by the people of the democratic state.

Note: Due to the nature of the police mission and functions, it may be necessary to have a certain level of secrecy as regards some aspects of its day-to-day-operations.

-Representativeness: The police workforce reflects the social composition of the society where it operates. Access to the police profession is not restricted to individuals belonging to a specific group (e.g. ethnic majority group) or having a particular quality (e.g. gender, level of education) and efforts are made to integrate and to maintain, as far as possible, different groups of the population in the police force.

-Effectiveness & Efficiency: A police service is effective when it is able to perform its core functions or roles and accomplish its goals. A police service is efficient when resources (time, budget, human, and material resources) are optimally allocated for the performance of police functions and achievement of police goals.

Note: The principle of efficiency does not operate in a vacuum. It has to be considered in the wider context of the other democratic policing principles. In considering the optimal way to accomplish a police function, police officers and the police organisation in general have to ensure that the other key principles of democratic policing, such as integrity, rule of law and accountability, are not compromised.

Facilitators' aid 2 - Importance of police integrity for society

Respect for human rights – The police are entrusted with special powers such as arrest, detention, coercion and use of force. If not used with the highest levels of restraint and integrity, these powers might easily lead to human rights violations.

Legitimacy – In a democratic system, it is crucial that state institutions enjoy legitimacy, i.e. that people perceive public authorities as representatives of public will. The legitimacy of the police is strongly enhanced if the public recognises that the police powers are used to serve the public with integrity, impartiality, and fairness.

Effective service delivery – Modern societies are increasingly relying on police-public cooperation for the successful performance of police mandate. Police integrity is essential to create trust between the public and the police, and trust enhances citizens' inclination to cooperate with the police and provide useful information in support of crime prevention and repression.

Feeling of safety – When people believe that the police are committed to serve and protect every one of them equally, they tend to feel safer in their everyday lives.

Role modelling – The police are the State agency responsible for ensuring the respect of the law and maintaining the moral order in the society. By displaying integrity in their own work, police officers act as role models for other citizens and promote respect for the law and ethics.

Module 2 - Democratic policing and integrity

Confidence in State institutions – Police officers are the most visible representatives of the State. Their image reflects on the image of the state and confidence in them influences the public's confidence in the other State institutions.

Recommended Readings for Facilitators

1. Position of the police in a democratic system

Council of Europe. "The European Code of Police Ethics." Strasbourg: Council of Europe, 2002.

III. The police and the criminal justice system

6. There shall be a clear distinction between the role of the police and the prosecution, the judiciary and the correctional system; the police shall not have any controlling functions over these bodies.
7. The police must strictly respect the independence and the impartiality of judges; in particular, the police shall neither raise objections to legitimate judgments or judicial decisions, nor hinder their execution.
8. The police shall, as a general rule, have no judicial functions. Any delegation of judicial powers to the police shall be limited and in accordance with the law. It must always be possible to challenge any act, decision or omission affecting individual rights by the police before the judicial authorities.
9. There shall be functional and appropriate co-operation between the police and the public prosecution. In countries where the police are placed under the authority of the public prosecution or the investigating judge, the police shall receive clear instructions as to the priorities governing crime investigation policy and the progress of criminal investigation in individual cases. The police should keep the superior crime investigation authorities informed of the implementation of their instructions, in particular, the development of criminal cases should be reported regularly.
10. The police shall respect the role of defence lawyers in the criminal justice process and, whenever appropriate, assist in ensuring the right of access to legal assistance effective, in particular with regard to persons deprived of their liberty.
11. The police shall not take the role of prison staff, except in cases of emergency.
12. The police shall be organised with a view to earning public respect as professional upholders of the law and providers of services to the public. . . .
15. The police shall enjoy sufficient operational independence from other state bodies in carrying out its given police tasks, for which it should be fully accountable. . . .
18. The police shall be organised in a way that promotes good police/public relations and, where appropriate, effective co-operation with other agencies, local communities, non-governmental organisations and other representatives of the public, including ethnic minority groups.
19. Police organisations shall be ready to give objective information on their activities to the public, without disclosing confidential information. Professional guidelines for media contacts shall be established.
20. The police organisation shall contain efficient measures to ensure the integrity and proper performance of police staff, in particular to guarantee respect for individuals' fundamental rights and freedoms as enshrined, notably, in the European Convention on Human Rights."

2. Democratic Policing Principles

OSCE. "Guidebook on Democratic Policing." Vienna: OSCE, 2008: 9-17.

"Key Principles of Democratic Policing

I. Objectives of Democratic Policing

The police are the most visible manifestation of government authority. Their main duties are to:

- maintain public tranquility and law and order;
- protect and respect the individual's fundamental rights and freedoms;

Module 2 - Democratic policing and integrity

- prevent and combat crime; and to
- provide assistance and services to the public.

Police officers will enhance the legitimacy of the State if they demonstrate in their daily work that they:

- respond to public needs and expectations; and
- use the authority of the State in the people's interest.

II. Upholding the Rule of Law

While pursuing these objectives, the police must:

- operate in accordance with the domestic law and the international law enforcement standards accepted by the OSCE participating States; and
- demonstrate commitment to the rule of law in practice.

Legislation and written policies governing the police should be:

- clear;
- precise; and also
- accessible to the public.

III. Police Ethics and Human Rights

In order to live up to the public's trust, the police must adhere to a code of professional conduct and demonstrate:

- professionalism; and
- integrity.

This code should reflect the highest ethical values, expressed in:

- prohibitions; and
- imperatives of police work.

The police have particular powers to:

- temporarily deprive people of their freedom;
- limit the full enjoyment of their rights; and,
- in extreme circumstances, to use even lethal force.

Therefore, police officers must perform their duties in accordance with:

- universally agreed standards of human rights; and
- civil and political rights.

Protection and preservation of life must be their highest priority.

IV. Police Accountability and Transparency

Democratic policing requires that the police be and consider themselves to be accountable to:

- the citizens;
- their representatives;
- the State; and
- the law.

Therefore, their activities – ranging from

- the behaviour of individual police officers to
- the strategies for police operations to
- appointment procedures or to
- budget management – must be open to scrutiny by a variety of oversight institutions.

Furthermore, a central feature of democratic policing is the understanding that the consent of the people is required. Pre-requisites for gaining public support are:

- providing transparency in police operations; and
- cultivating communication and mutual understanding with the public the police serve and protect.

Module 2 - Democratic policing and integrity

V. Police Organization and Management Issues

States are obliged to create a structural and managerial environment that will enable the police to effectively and efficiently implement the provisions of the rule of law, domestic and international law, and accepted human rights standards.

This includes issues such as:

- the chain of command;
- regulations on supervision;
- the composition of the police;
- the rights of police personnel; and
- the provision of adequate resources and training. . . .

Policing as a Public Service

2. The main duties of the police are to maintain public tranquility, law and order; to protect the individual's fundamental rights and freedoms – particularly life –; to prevent and detect crime; to reduce fear; and to provide assistance and services to the public.

Progress towards democratic policing is made when there is a shift "from a control-oriented approach to a more service-oriented approach", where the primary concern of law enforcement remains focused on proactive crime prevention.

3. Democratic police develop and implement their activities according to the needs of the public and the State and emphasize assistance to those members of the community in need of immediate help.

The police must be responsive to the community as a whole and strive to deliver their services promptly, and in an equal and unbiased manner. Through their activities the police should be part of society's common efforts to promote legal protection and a sense of security.

4. Upon request, the police shall assist other public institutions in performing their services when prescribed by the law. When intervening in conflicts, the police must be guided by the principle that "everyone shall be subject to such limitations as are determined by law solely for the purpose of securing due recognition and respect for the right and freedom of others and of meeting the just requirements of morality, public order and the general welfare in a democratic society". The police can therefore be considered the gatekeepers of equality, integration and cohesion in a time of rapidly changing composition of the population in most major cities. . . .

6. What problems are brought to the police to be resolved – and by which segments of society – as well as how the police respond are clear indicators of the extent to which democratic policing practices have been adopted.

7. The police will enhance the legitimacy of the States if they demonstrate in their daily work that they are responsive to public needs and expectations, and they use the authority of the State in the people's interest. If the police carry out their responsibilities in a way that reflects democratic values, the cause of democracy and the legitimacy of the State are advanced.

8. Public trust and confidence in the police are prerequisites for effective policing. Without this trust the public will not be willing to report crimes and provide the police with the information needed to work successfully.

9. Furthermore, democratic policing requires that the police simultaneously stand outside of politics and protect democratic political activities and processes (e.g. freedom of speech, public gatherings, and demonstrations). Otherwise, democracy will be threatened. . . .

III. Human Rights

34. The police have particular powers (including the authorization to potentially use force) to temporarily deprive people of their freedom, to limit the full enjoyment of their rights (for example, to stop, question, detain and arrest, seize property, take fingerprints and photographs and conduct intimate body searches) and, under extreme circumstances, to use even lethal force. Furthermore, the police have, in many instances, the discretion to decide whether and how to use these powers. They must, however, always adhere to upholding the rule of law, in accordance with the best international standards and the procedural rules and policies laid down in the applicable national and local laws.

35. In the performance of their duty, law enforcement officials must respect and protect human dignity and maintain and uphold basic human rights as well as civil and political rights."

UNODC. "Handbook on Police Accountability, Oversight and Integrity." Vienna: United Nations, 2011: 5-8.

"In order to carry out [its] functions, the police have certain powers, namely the power to arrest and detain and the power to use force. It is precisely this monopoly on the use of force and the power to arrest and detain that place the police in a unique and sensitive position within the democratic State, so that adequate control mechanisms are required to ensure that these powers are consistently used in the public interest. Like any other public service, the police must operate with impartiality. The description of the police as the strong arm of the State reflects their authorization to enforce laws and

Module 2 - Democratic policing and integrity

policies defined by State institutions. In some countries, this leads to State representatives trying to influence the police to serve their interests rather than the public interest (known as political interference). Others therefore prefer to regard the police as a service to the public, with the emphasis on the requirement for the police to be responsive to the people's needs, given that they are carrying out their functions on the people's behalf. . . . In other words, good policing is policing that is both effective and fair. Police who are ineffective, or illegitimate or unfair, in protecting the public against crime will lose the public's confidence. Good policing is policing with legitimacy on the basis of public consent, rather than repression. Achieving public confidence is key to effective policing where police functions can be carried out on the basis of legitimacy rather than force.

Good policing requires public cooperation. Members of the public may be witnesses and victims of crime, and they can provide the police with relevant information. Yet, only if people trust the police and regard them as legitimate are they willing to assist them (for example by sharing information) and comply with their instructions, enabling the police to succeed in carrying out their core functions of maintaining public order and preventing and detecting crime. . . . Enhancing police accountability and integrity is primarily meant to establish, restore or enhance public trust and (re-) build the legitimacy that is a prerequisite for effective policing. . . . Accepting external, civilian scrutiny is a hallmark of a democratic police force, that is, one that is responsive and accountable to the needs of the public."

HCNM. "Recommendations on Policing in Multi-Ethnic Societies." The Hague: OSCE, 2006.

"RECRUITMENT AND REPRESENTATION"

4. The composition of the police – at local, regional and national levels and including senior as well as junior ranks, and also civilian personnel – should reflect the diversity of the population.

The public image of the police as an ethnically representative body needs to be actively promoted. Equitable representation of minorities in the police organization is important for several reasons:

- a) As an indicator that members of all ethnic groups have equal opportunity as individuals to join and progress in careers in the police;
- b) As a way of promoting integration of minorities through their participation in the public life of the state and its institutions;
- c) As a way of providing the police organization internally with a range of knowledge and skills (including language skills) that are required for working in an ethnically diverse community;
- d) As a means of helping police to build relationships externally with minority communities based on effective communication, co-operation and mutual confidence."

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Module 2 - Democratic policing and integrity

Participant's Handbook

Definition of a Democratic System:

A democratic system is a system of governance where the power originates from the people, through free and fair elections. Public authorities are representative of the people they serve and their will. They respect the principles of democracy.

Branches of a Democratic System:

In a democratic system, there exist three powers, or branches – the legislative, the executive and the judicial – that each has a distinct role. Each of the three branches has defined abilities to check the powers of the other branches. They exercise the power vested in them by the people for the good of the people.

Power	Role
Legislative	Proposes, drafts, enacts, amends, and repeals laws Oversees the activity of the executive
Executive	Daily administration of the state Executes or enforces the law
Judiciary	Interprets and applies the law

Position of the Police within a Democratic System:

The police are part of the executive power. The police are empowered by the people through the executive to maintain order, stability and security. They have to apply the laws enacted by the legislative power on behalf of the people, for the good of the people. They support the judiciary in its mission but cannot make judgments in a judicial context.

Core Functions of the Police:

- Prevention of crime
- Detection of crime
- Crisis management and emergency measures
- Maintenance of public order, peace and tranquility
- Provision of assistance to the public

Module 2 - Democratic policing and integrity

Key Principles of Democratic Policing:

-Upholding the rule of law: In a democratic context, all the citizens, including those who are working in the legislative, executive and judicial branches, are equally bound and protected by the law. Everyone, including the police, must decide and act on the basis of, and in accordance with, existing laws, regulations and the legally binding human rights principles.

-Public Service: The mission and functions of the police aim at promoting the benefit of the public. In particular, the police must strive to respond to the security needs of all groups of citizens.

-Integrity: In the policing context, at the organisational level, integrity signifies that the police organisation has established and operates in line with ethical values. More specifically, police integrity entails that police work is steered by a core set of clearly defined ethical values such as impartiality, fairness, equality, justice, honesty and respect for human rights. Integrity should be promoted by the police organisation through all its levels. At the individual level, police officers uphold the principle of integrity when they align their behaviour with the ethical values set by their organisation.

-Accountability: Accountability means that the police are responsible for their actions and decisions. Hence, police officers and organisations answer for their acts and can be held accountable for them (e.g. by parliamentary oversight, review and monitoring by independent oversight bodies such as ombuds-institutions, elections, sanctions in case of an arbitrary decision).

-Transparency: Transparency signifies that policies, laws, budgets, and information on decisions and activities of the police are easily accessible to the public. Information should be relevant, of good quality and provided in a timely manner. Lack of such information hinders accountability because the citizens will not be able to evaluate and scrutinise the way the police exercise the special powers vested in them by the people of the democratic state.

Note: Due to the nature of the police mission and functions, it may be necessary to have a certain level of secrecy as regards some aspects of its day-to-day-operations.

-Representativeness: The police workforce reflects the social composition of the society where it operates. Access to the police profession is not restricted to individuals belonging to a specific group (e.g. ethnic majority group) or having a particular quality (e.g. gender, level of education) and efforts are made to integrate and to maintain, as far as possible, different groups of the population in the police force.

-Effectiveness & Efficiency: A police service is effective when it is able to perform its core functions or roles and accomplish its goals. A police service is efficient when resources (time, budget, human, and material resources) are optimally allocated for the performance of police functions and achievement of police goals.

Note: The principle of efficiency does not operate in a vacuum. It has to be considered in the wider context of the other democratic policing principles. In considering the optimal way to accomplish a police function, police officers and the police organisation in general have to ensure that the other key principles of democratic policing, such as integrity, rule of law and accountability, are not compromised.

Importance of police integrity to society:

Respect for human rights – The police are entrusted with special powers such as arrest, detention, coercion and use of force. If not used with the highest levels of restraint and integrity, these powers might easily lead to human rights violations.

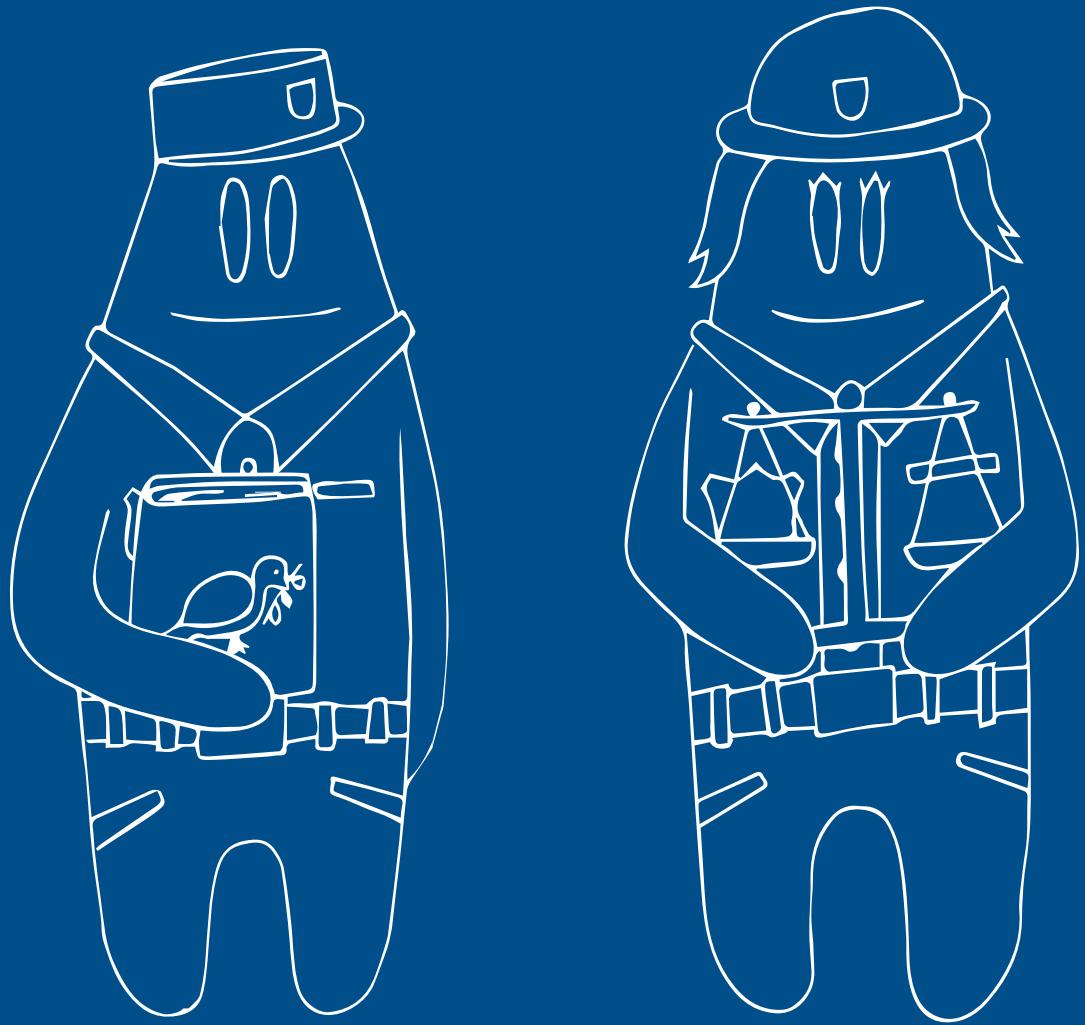
Legitimacy – In a democratic system, it is crucial that state institutions enjoy legitimacy, i.e. that people perceive public authorities as representatives of public will. The legitimacy of the police is strongly enhanced if the public recognises that the police powers are used to serve the public with integrity, impartiality, and fairness.

Effective service delivery – Modern societies are increasingly relying on police-public cooperation for the successful performance of police mandate. Police integrity is essential to create trust between the public and the police, and trust enhances citizens' inclination to cooperate with the police and provide useful information in support of crime prevention and repression.

Feeling of safety – When people believe that the police are committed to serve and protect every one of them equally, they tend to feel safer in their everyday lives.

Role modelling – The police are the State agency responsible for ensuring the respect of the law and maintaining the moral order in the society. By displaying integrity in their own work, police officers act as role models for other citizens and promote respect for the law and ethics.

Confidence in State institutions – Police officers are the most visible representatives of the State. Their image reflects on the image of the state and confidence in them influences the public's confidence in the other State institutions.



Module 3

Values and attitudes of police officers

Module 3

Values and attitudes of police officers



Module aim:

Generate discussions on the values and attitudes related to integrity that a police officer should have at the professional level.



Learning objectives:

At the end of this lesson, participants will be able to:

1. List and explain key professional values that a police officer should have.
2. Recognise that attitudes affect ethical behaviour.
3. Describe components of the attitudes that a police officer should display while performing his/her duties.
4. List core reasons why police integrity is important for the police officer and the police organisation.



Required material: Flip chart or board, markers, post-its, pens



Time: 80-100 minutes (options 80, 85, 100)

	Content	Method/action	Handouts/aids
1	Introduction	5'	
2	Policing values	30' Individual activity Plenary discussion	Handout 1
3	Attitudes: How attitudes affect integrity (The right attitudes)	15' Group activity Pair activity (20') Plenary discussion	Handouts 2A, 2B, 2C 8 little sheets of paper
4	Why is integrity important for you?	25' Brainstorming Debriefing	Handout 3
5	Conclusion	5' Plenary discussion	

Short description of the module:

As defined in module 1, integrity is the alignment of behaviour with values. The main focus of this module is to identify and reflect on the core police values that lie at the heart of police integrity. This module also suggests activities on how attitudes influence integrity and on the benefits of integrity for the police officer and the organisation.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Explain to participants:

”

This module will allow you to reflect more concretely on what characterises a police officer who has integrity. We will discuss the most important values in adherence to which police work should be conducted, and the best attitudes of a police officer towards various elements of her/his work such as duty, citizens, use of force, hierarchy, victims, and offenders. Finally, this module also emphasises many reasons why police integrity is very important for police officers in their private and professional lives, and for the overall police organisation.

”

WHY - Relevance of this module

- ▶ Explain the relevance of this module, for instance by saying:

”

As discussed in the first lesson, integrity has a lot to do with values, since we defined it as the alignment of behaviour with moral values. It is therefore important to reflect on which values are the most important for police work and what it means to act in accordance with them. This module also discusses attitude because it is an important factor that influences the extent to which all individuals act in accordance with their values under certain circumstances. Finally, after discussing why integrity is important for the citizens and the community in the previous module, it is also interesting for you to reflect on why it is important for yourself and for your organisation.

”

WHAT FOR - Objectives of the module

- ▶ Present the module's objectives.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

Personal notes

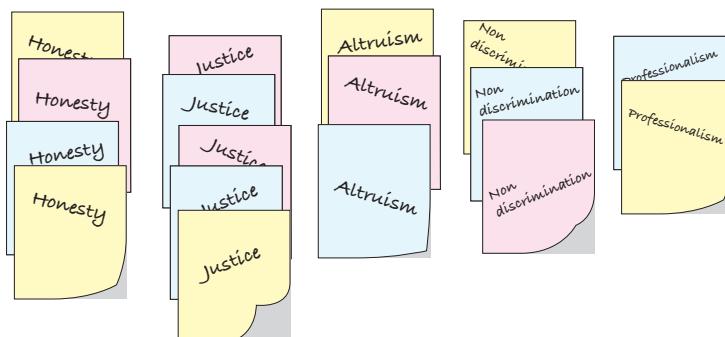
30'

2. Policing values

- ▶ Introduce the activity:

This activity will help you identify some core policing values and relate them to concrete behaviour.

- ▶ Distribute a copy of **Handout 1**, which contains many values, to each participant.
- ▶ Distribute post-its to all participants. Make sure they all have pens.
- ▶ Give the participants 5 minutes to choose individually from the “cloud” of values the 5 values that they consider most important for integrity in the work of the police officer. Tell them to try to picture what these values mean for behaviour.
- ▶ Tell them to write one value on each of their 5 post-its and to come paste them on the board or wall. If the same value is already on the board, tell them to paste it below as shown on the example that follows:



- ▶ Some values will have been chosen by more participants than others. Discuss the 4 or 5 values that have the most post-its, depending on time.
- ▶ For each value, lead a discussion using the following questions:



- How would you define this value?
- Could anyone tell me about a situation where you or a colleague behaved in accordance with this value although it was maybe difficult to behave with integrity in that particular circumstance? (If no participant has a story, ask them to invent a case scenario.)

- ▶ In conclusion, highlight the link between individual and organisational values:

Your own values are crucial to help you make the right choices in difficult situations. However, the organisation should also clearly define its values, including in a code of ethics, and you must be aware of them. Sometimes, you can be convinced to do the right thing according to your own values while the police organisation's ethics expect you to behave in a different way. One example of this could be if in a particular situation you prioritise your value of “bravery” while the organisation does not want you to take too high risks.

Note: If you have time and wish to do so, you could introduce a discussion around a case scenario in which individual and organisational values come into conflict (see for instance module 9, Facilitators' aid, case n°14).

35'



3. Attitudes

- ▶ Give a brief introduction on attitudes:

“

An attitude is a positive or negative evaluation of people, objects, events, activities, ideas, or just about anything in the environment. An attitude can be conscious or unconscious. You may never have considered how much people's attitudes affect their ethical behaviour, but consistently going to work with bitter, negative attitudes about yourself, your job, your interpersonal relationships, or your life in general is a pretty accurate predictor that unethical actions and decisions will follow.

”

- ▶ Choose one of the two following activities. If you have time, you can do both.

15'



How attitudes affect integrity

- ▶ Introduce the activity:

“

This activity aims at emphasising that attitudes can affect integrity and ethical behaviour.

”

- ▶ Divide the participants into 3 groups.

- ▶ Distribute one version of **Handout 2** to each group.

- ▶ Instruct groups to reflect for 5 minutes on how the attitude described in the short text can affect the integrity of a police officer and lead to unethical behaviour. Is there a risk that an officer with such attitude would act unethically? How? Why?

- ▶ Ask them to read the short extract to the whole group and share the conclusions that they reached.

- ▶ Debrief with them:

?

- Can attitudes affect integrity?
- How to build positive attitudes towards police work?

Personal notes

Module 3 - Values and attitudes of police officers

20'

Attitudes of integrity

- ▶ Introduce the activity:

” This activity discusses what attitudes a police officer who has integrity should have towards particular aspects of her/his work.

- ▶ Group participants sitting next to each other in pairs.

▶ Distribute one question on Handout 3 to each group. If there are more than 9 groups, you can add other questions such as “towards the judiciary”, “towards minorities”, “towards human rights”, “towards the political system” or “towards defense lawyers”.

- ▶ Give pairs 5 minutes to discuss the question.

▶ Ask each pair to tell the whole group what question they had and what their response is. Ask the group if they agree or would like to add something.

- ▶ Conclude by explaining the link between attitudes and culture to the participants:

” Often, individual attitudes are influenced by the culture of the organisation. But you should keep in mind that it is the addition of your personal values, attitudes and behaviour that shape group behaviour, culture and sub-cultures in the organisation. By displaying positive attitudes, you can be a role model in the organisation and contribute to a culture of integrity.

Personal notes

25'



4. Why is Integrity important for you?

- ▶ Introduce the activity:

”

This activity is about why police integrity is important not only for the citizens and the community but also for yourselves and your organisation.

”

- ▶ On the flip chart or board, write 3 titles: “for police officers in professional life”, “for police officers in private life”, and “for police organisation”.
- ▶ Distribute post-its to all participants.
- ▶ Ask the participants to write 2 reasons why integrity is important for each of the 3 titles and to paste them below the title.
- ▶ Group the answers that are identical or very similar.
- ▶ Summarise the results. Complement them with elements of **Handout 4** if needed.
- ▶ Distribute **Handout 4** as an example of potential reasons.
- ▶ Ask the participants to comment on these reasons.



5'



5. Conclusion

- ▶ Summarise conclusions of discussions.
- ▶ Ask the whole group:

?

- Do you now have a clear image of a police officer who has integrity? How would you describe him or her briefly?
- Can you list a few reasons why police integrity is important not only for the community, but also for you?

- ▶ Re-emphasise other key messages.

Personal notes

Module 3 - Values and attitudes of police officers

Handout 1 - Some core values of policing

Instructions: Write on 5 post-its the 5 most important professional values from the following ones or others that you think a police officer who has integrity should possess.

Transparency

Objectivity

Equality

Selflessness

Discipline

Empathy

Justice

Rule of law

Respect

Non discrimination

Public service

Honesty

Professionalism

Impartiality

Proportionality

Obedience

Honour

Leadership

Module 3 - Values and attitudes of police officers

Handout 2A - Attitudes

Instructions: Discuss in your group how the attitude described below can affect the integrity of a police officer and lead to unethical behaviour. Is there a higher risk that an officer with such an attitude would act unethically? How? Why?

Frustration/defiance

A young police officer, after 4 years of service, has lost the idealism that she first had when joining the police, when she was very confident in her ability to make her community a safer place. She is very angry internally for not being able to fulfill her mission in the expected way, and starts getting irritated with her colleagues and her superiors, and dissatisfied with the whole organisation. She often comes home in a bad mood.¹



Handout 2B - Attitudes

Instructions: Discuss in your group how the attitude described below can affect the integrity of a police officer and lead to unethical behaviour. Is there a higher risk that an officer with such an attitude would act unethically? How? Why?

Resignation

A police officer has been 30 years in service. He doesn't find joy or meaning in his job anymore. He is counting the days until retirement and gives minimum effort in his job in order to not attract attention. He acts like an automaton. The sparkle in his eyes seems to have faded away.



Handout 2C - Attitudes

Instructions: Discuss in your group how the attitude described below can affect the integrity of a police officer and lead to unethical behaviour. Is there a higher risk that an officer with such an attitude would act unethically? How? Why?

Commitment

A police officer does not expect perfection from himself or others, but always strives to do his best. He is committed to contributing as much as he can to the benefit of the citizens, the society and the organisation, and always willing to learn and progress.³

¹ Adapted from: OSCE. "Police Ethics for Preserving Personal and Professional Integrity." Belgrade: OSCE, 2014.

² Ibid.

³ Ibid.

Module 3 - Values and attitudes of police officers

Handout 3 - Attitudes of integrity

What attitude should a police officer with integrity have towards the law?



What attitude should a police officer with integrity have towards the use of violence/force?



What attitude should a police officer with integrity have towards the police organisation?



What attitude should a police officer with integrity have towards the organisation's hierarchy and colleagues?



What attitude should a police officer with integrity have towards internal and external scrutiny and control?



What attitude should a police officer with integrity have towards citizens in general?



What attitude should a police officer with integrity have towards victims of crime?



What attitude should a police officer with integrity have towards alleged offenders?

Module 3 - Values and attitudes of police officers

Handout 4 - Why is police integrity important for you?

For police officers in professional life:

- performing their duties professionally
- performing their duties honestly
- building self-confidence and self-respect in work
- gaining respect from colleagues
- gaining respect from superiors
- gaining respect from citizens
- being an example for other colleagues
- possibility of being rewarded for work
- career building opportunities
- avoiding disciplinary or criminal procedures
- avoiding bitterness and burnout
- getting satisfaction from their job

For police officers in personal life:

- building self-confidence
- not bringing work home
- getting personal satisfaction and maintaining a good self-image
- transferring that satisfaction to the family
- being respected by family members and friends
- avoiding embarrassment, shame and disgrace of officer and his/her friends and family because of scandals in media or justice system

For police organisation:

- reducing number of disciplinary and criminal acts
- reducing costs of judicial and other procedures
- developing organisational culture
- increasing operational efficiency and effectiveness
- increasing employee satisfaction
- maintaining the image of a police service that serves and protects citizens
- possibility of further improvement and development of organisation
- gaining the trust of citizens

Module 3 - Values and attitudes of police officers

Recommended Readings for Facilitators

1. Positive policing values

College of Policing. "Code of Ethics: A Code of Practice for the Principles and Standards of Professional Behaviour for the Policing Profession of England and Wales." London: College of Policing, 2014: 3.

2.1 Doing the right thing in the right way

2.1.1

Every person working for the police service must work honestly and ethically. The public expect the police to do the right thing in the right way. Basing decisions and actions on a set of policing principles will help to achieve this.

2.1.3

The policing principles reflect the personal beliefs and aspirations that in turn serve to guide behaviour and shape the policing culture. The combination of principles and standards of behaviour encourages consistency between what people believe in and aspire to, and what they do.

Policing Principles:

- Accountability: You are answerable for your decisions, actions, and omissions.
- Fairness: You treat people fairly.
- Honesty: You are truthful and trustworthy.
- Integrity: You always do the right thing.
- Leadership: You lead by good example.
- Objectivity: You make choices on evidence and your best professional judgment.
- Openness: You are open and transparent in your actions and decisions.
- Respect: You treat everyone with respect.
- Selflessness: You act in the public interest."

Council of Europe. "The European Code of Police Ethics." Strasbourg: Council of Europe, 2002.

"Article 23. Police personnel shall be able to demonstrate sound judgment, an open attitude, maturity, fairness, communication skills and, where appropriate, leadership and management skills. Moreover, they shall possess a good understanding of social, cultural and community issues."

2. Importance of education for personal values

OSCE. "Police Ethics for Preserving Personal and Professional Integrity." Belgrade: OSCE, 2014.

"Each person in his or her life continually values various elements and manifestations of reality, both in private and social life. It has already been said that a human being develops into a moral personality through education. The result of this process is the creation of moral character.

The formed moral character implies a durable disposition acquired as a habit through the long-lasting process of education. The basic valuation method is the classification of elements in the following notions:

- true and false;
- good and evil;
- beautiful and ugly;
- just and unjust;
- sacred (ecclesiastical/religious) and secular (non-ecclesiastical/non-religious), etc."

Module 3 - Values and attitudes of police officers

Recommended Readings for Facilitators

3. Organisational values

Wasserman, Robert and Mark H. Moore. "Values in Policing." *Perspectives on Policing*, 8 (1988): 1-7.

"This paper explores the role that the explicit statement of police values can have on the pursuit of excellence within police departments. Values are the beliefs that guide an organization and the behavior of its employees. The most important beliefs are those that set forth the ultimate purposes of the organization. They provide the organization with its *raison d'être* for outsiders and insiders alike and justify the continuing investment in the organization's enterprise. . . .

All organizations have values. One can see these values expressed through the actions of the organization -the things that are taken seriously and the things that are rejected as irrelevant, inappropriate, or dangerous. Jokes, solemn understandings, and internal explanations for actions also express values.

Police departments are powerfully influenced by their values. The problem is that police departments, like many organizations, are guided by implicit values that are often at odds with explicit values. This breeds confusion, distrust, and cynicism rather than clarity, commitment, and high morale. . . .

Almost as bad, the explicit values articulated by some police organizations are unsuited to the challenges confronting today's police departments. Finally, there is a reluctance from the part of some police executives to rely on explicit statements of values as an important management tool for enhancing the performance of their organizations. Still, some police executives are working towards superior police performance by articulating a new set of values, and by using these as a primary management tool. . . . Values play this important role for several reasons. . . . This helps employees make proper decisions and use their discretion with confidence that they are contributing to rather than detracting from organizational performance. That means that the necessity for strong control is lessened. . . .

[In modern policing], values are no longer hidden, but serve as the basis for citizen understanding of the police function, judgments of police success, and employee understanding of what the police agency seeks to achieve."

4. Influence of attitudes on behaviour

Gilmartin, Kevin M. and John J. Harris. "Law Enforcement Ethics... The Continuum of Compromise." *Police Chief Magazine* 65, no. 1 (1998): 25-28.

"Officers frequently develop a perceived sense of victimization over time. Officers typically begin their careers as enthusiastic, highly motivated people. However, when these young officers over-invest in and over-identify with their professional role they will develop a sense of singular-identity based on their job and an increased sense of victimization. At greatest risk are officers whose jobs literally become their lives. For them, 'I am a cop.' is not just a cliché but rather a way of life. Over-identification and over-investment causes people to link their sense of self to their police role . . . a role they do not control. While this builds camaraderie, it can also cause officers to eventually hate and resent the job they once loved.

While officers have absolute control over their own integrity and professionalism, the rest of their police role is controlled by someone else. Department rules, procedures, policies, equipment, budget allocations, assignments, dress codes, and many other day-to-day and long-term activities are controlled by the chief, commanders, supervisors, prosecuting attorneys, the criminal justice system, laws, the courts, politicians, etc. Officers who over-identify with the job soon experience a loss of control over other aspects of their lives. Professional over-investment, coupled with a loss of personal control puts officers at serious risk . . . a risk that in some ways is more dangerous than the physical risks they face on the street. 'It doesn't matter how guilty you are, but how slick your lawyer is,' can become the officers cynical yet reality-based perception of the legal system. These realities combine with over-investment to develop an 'Us versus them' perception in terms of how officers see the world.

The physical risks that officers are exposed to each day require them to see the world as potentially lethal. To survive, they have to develop a 'hypervigilant' (Gilmartin, 1984) mind-set. Hypervigilance coupled with over-investment leads officers to believe the only person you can really trust is another cop . . . a 'real cop' that is, not some 'pencil-neck in the administration'. While officers first become alienated from the public, they can soon distance themselves from the criminal justice system and finally from their own department administration. 'I can handle the morons on the street, I just can't handle the morons in the administration,' is often heard among officers. It is ironic how quickly idealism and trust in the administration can change . . . often times even before the first set of uniforms wears out. As a sense of perceived victimization intensifies, officers become more distrusting and resentful of anyone who controls their job role. At this point, without any conscious awareness and certainly without any unethical intent, unsuspecting officers can begin a journey down the continuum of compromise.

Module 3 - Values and attitudes of police officers

When officers (or anyone for that matter) feel victimized, in their own mind they can rationalize and justify behaviors they may not normally engage in. [For instance,] officers [may] rationalize and justify not doing things they are responsible for doing. At this point, officers can feel quite justified in not doing things that, from their own perspective, appear to ‘even the score’. ‘If they (whomever it may be) don’t care about us, why should we care about them.’ Acts of omission can include selective non-productivity (ignoring traffic violations or certain criminal violations, etc.), ‘not seeing’ or avoiding on-sight activity, superficial investigations, omitting paperwork, lack of follow up, doing enough to just ‘get by’ and many other activities which officers can easily omit. ‘You will never get in trouble for the stop you don’t make!’ typifies the mind-set of officers during this stage. This results in decreased productivity and produces passive resistance to organizational mandates.”

Further readings

- Cobut, Eric. “Chapter 2: Section 2: Why are Values, Rules and Behaviour Important in the Struggle against Corruption?” In Toolkit on Police Integrity, edited by Pierre Aepli. Geneva: DCAF, 2012. <http://www.dcaf.ch/Publications/Toolkit-on-Police-Integrity>
- Johnson, Terrance and Raymond W Cox III. “Police Ethics: Organizational Implications.” *Public Integrity* 7, no. 1 (2004): 67-79.
- OSCE. “Police Ethics for Preserving Personal and Professional Integrity.” Belgrade: OSCE, 2014
- Raines, Julie. “Chapter 9: In Law Enforcement we trust: Ethical Attitudes and Behaviors of Law Enforcement Officers and Supervisors.” In *Ethics in Policing: Misconduct and Integrity*. Sudbury: Jones and Bartlett, 2011.
- Wasserman, Robert and Mark H. Moore. “Values in Policing.” *Perspectives on Policing* 8 (1988).<http://www.public-safety.gc.ca/cnt/cntrng-crm/plcng/cnmcs-plcng/rsrch-prtl/shwttls-eng.aspx?d=PS&i=85165633>

Module 3 - Values and attitudes of police officers

Participant's Handbook

Values:

Integrity has a lot to do with values, since we defined it as the alignment of behaviour with moral values. Your own values are crucial to help you make the right choices in difficult situations.

However, the organisation should also clearly define its values, including in a code of ethics, and you must be aware of them.

Some key policing values include public service, impartiality, fairness, and professionalism.

Attitudes:

An attitude is a positive or negative evaluation of people, objects, events, activities, ideas, or just about anything in the environment. An attitude can be conscious or unconscious.

People's attitudes affect their ethical behavior. For instance, consistently going to work with bitter, negative attitudes about yourself, your job, your interpersonal relationships, or your life in general is a pretty accurate predictor that unethical actions and decisions will follow.

Often, individual attitudes are influenced by the culture of the organisation. But you should keep in mind that it is the addition of your personal values, attitudes and behavior that shape group behavior, culture and sub-cultures in the organization. By displaying positive attitudes, you can be a role model in the organisation and contribute to a culture of integrity.

Why is police integrity important for you?

For police officers in professional life:

- performing their duties professionally
- performing their duties honestly
- building self-confidence and self-respect in work
- gaining respect from colleagues
- gaining respect from superiors
- gaining respect from citizens
- being an example for other colleagues
- possibility of being rewarded for work
- career building opportunities
- avoiding disciplinary or criminal procedures
- avoiding bitterness and burnout
- getting satisfaction from their job

For police officers in personal life:

- building self-confidence
- not bringing work home
- getting personal satisfaction and maintaining a good self-image
- transferring that satisfaction to the family
- being respected by family members and friends
- avoiding embarrassment, shame and disgrace of officer and his/her friends and family because of scandals in media or justice system

Module 3 - Values and attitudes of police officers

For police organisation:

- reducing number of disciplinary and criminal acts
- reducing costs of judicial and other procedures
- developing organisational culture
- increasing operational efficiency and effectiveness
- increasing employee satisfaction
- maintaining the image of a police that serves and protects citizens
- possibility of further improvement and development of organisation
- gaining the trust of citizens



Module 4

Police integrity legal and regulatory framework

Module 4

Police integrity legal and regulatory framework



Module aim:

Help the participants identify and analyse international, national, and internal laws, rules, and regulations relevant to police integrity.



Learning objectives:

By the end of this session the participants will be able to:

1. List international, national, and internal laws, rules, and regulations relevant to police integrity.
2. Identify the relevant parts from the listed documents and their implications in practice.



Time: 55 minutes



Required material: Extracts of relevant legislation and regulations

Content	Method/action	Handouts/aids
1 Introduction	5' Presentation	
2 Your country's legal framework on integrity	40' Brainstorming Group activity	Handout 1 All relevant national laws and regulations related to integrity selected by facilitators
3 Conclusion	10' Plenary discussion	



This module requires good preparation by the facilitators who must select the relevant national laws and chapters of laws and regulations on police integrity.

Short description of the module:

This module aims to clarify the legal basis of integrity and is organised around the analysis and presentation of laws related to integrity by small groups of participants. This module requires good preparation by the facilitators, who must select the relevant laws and chapters of laws.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ State the focus of the module:

“

This module is about the international and national laws, regulations, and codes that define and regulate police integrity and its components.

”

WHY - Relevance of the module

- ▶ Explain the relevance of this module, for instance by saying:

“

Police integrity and its components (definitions and prohibition of various types of misconduct, vision, mission and values of the police etc.) are often spread over many legal documents, and you might not always have a very clear idea of their actual content. This module will remind you the legal foundations of integrity.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

Personal notes

40'

2. Your country's legal framework on integrity



- ▶ Conduct brainstorming with the whole group around the following questions:



- What international and national legal documents regulate components of police integrity?
- Do you know what is in each of them that relates to integrity?



- ▶ Divide the participants into 3-6 groups.

- ▶ Distribute to each group one of the major laws or codes regulating police integrity for your country.



Notes:

- You might want to include the United Nations Code of Conduct for Law Enforcement Officials (Handout 1), extracts of the European Code of Police Ethics (Handout 2), the national law on police, the Police Code of Conduct and the Code of Police Ethics if they exist in your country, as a minimum.
- Try to give each group approximately the same number of pages. In long laws, give only chapters that are relevant, or split chapters among groups.
- If your country has so many relevant laws that they cannot be all distributed to a group, prepare a short summary of those that are not distributed to any group.

- ▶ Give the participants 15 minutes to read the law that has been distributed to them, analyse it in relation to integrity within their group and get ready to present their analysis to the other groups.

- ▶ Instruct them to search for:

- Lists, explanations, and definitions of prohibited and prescribed conduct for police officers;
- Values of the police;
- Any other important points.

- ▶ Instruct them to also reflect on the following questions:



- Where are the provisions you identified in the law most important in your practical work?
- How do you apply them in practice?



- ▶ Tell each group to present these key points to their colleagues in 5 minutes.



5'

3. Conclusion

- ▶ Summarise the key points of discussion.
- ▶ Re-emphasise the key messages of the module.



Module 4 - Police integrity legal and regulatory framework

Handout 1 - UN Code of Conduct for Law Enforcement Officials

Adopted by UN General Assembly resolution 34/169 of 17 December 1979

Article 1: Law enforcement officials shall at all times fulfill the duty imposed upon them by law, by serving the community and by protecting all persons against illegal acts, consistent with the high degree of responsibility required by their profession.

Article 2: In the performance of their duty, law enforcement officials shall respect and protect human dignity and maintain and uphold the human rights of all persons.

Article 3: Law enforcement officials may use force only when strictly necessary and to the extent required for the performance of their duty.

Article 4: Matters of a confidential nature in the possession of law enforcement officials shall be kept confidential, unless the performance of duty or the needs of justice strictly require otherwise.

Article 5: No law enforcement official may inflict, instigate or tolerate any act of torture or other cruel, inhuman or degrading treatment or punishment, nor may any law enforcement official invoke superior orders or exceptional circumstances such as a state of war or a threat of war, a threat to national security, internal political instability or any other public emergency as a justification of torture or other cruel, inhuman or degrading treatment or punishment.

Article 6: Law enforcement officials shall ensure the full protection of the health of persons in their custody and, in particular, shall take immediate action to secure medical attention whenever required.

Article 7: Law enforcement officials shall not commit any act of corruption. They shall also rigorously oppose and combat all such acts.

Article 8: Law enforcement officials shall respect the law and the present Code. They shall also, to the best of their capability, prevent and rigorously oppose any violations of them.

Law enforcement officials who have reason to believe that a violation of the present Code has occurred or is about to occur shall report the matter to their superior authorities and, where necessary, to other appropriate authorities or organs vested with reviewing or remedial power.

Module 4 - Police integrity legal and regulatory framework

Handout 2 - Extract of the European Code of Police Ethics (art. 35-46)

V.A. Guidelines for police action/intervention: general principles

- 35.** The police, and all police operations, must respect everyone's right to life.
- 36.** The police shall not inflict, instigate or tolerate any act of torture or inhuman or degrading treatment or punishment under any circumstances.
- 37.** The police may use force only when strictly necessary and only to the extent required to obtain a legitimate objective.
- 38.** Police must always verify the lawfulness of their intended actions.
- 39.** Police personnel shall carry out orders properly issued by their superiors, but they shall have a duty to refrain from carrying out orders which are clearly illegal and to report such orders, without fear of sanction.
- 40.** The police shall carry out their tasks in a fair manner, guided, in particular, by the principles of impartiality and non-discrimination.
- 41.** The police shall only interfere with individual's right to privacy when strictly necessary and only to obtain a legitimate objective.
- 42.** The collection, storage, and use of personal data by the police shall be carried out in accordance with international data protection principles and, in particular, be limited to the extent necessary for the performance of lawful, legitimate and specific purposes.
- 43.** The police, in carrying out their activities, shall always bear in mind everyone's fundamental rights, such as freedom of thought, conscience, religion, expression, peaceful assembly, movement and the peaceful enjoyment of possessions.
- 44.** Police personnel shall act with integrity and respect towards the public and with particular consideration for the situation of individuals belonging to especially vulnerable groups.
- 45.** Police personnel shall, during intervention, normally be in a position to give evidence of their police status and professional identity.
- 46.** Police personnel shall oppose all forms of corruption within the police. They shall inform superiors and other appropriate bodies of corruption within the police.

Module 4 - Police integrity legal and regulatory framework

Further readings:

- Brown, D. "The Impact of Codes of Ethics on Behaviour: a Rapid Evidence Assessment." London: College of Policing, 2014. <http://whatworks.college.police.uk/Research/Pages/Published.aspx>
- Cobut, Eric. "Chapter 2, Section 1.12: Codes of Conduct." In Toolkit on Police Integrity, edited by Pierre Aepli. Geneva: DCAF, 2012. <http://www.dcaf.ch/Publications/Toolkit-on-Police-Integrity>
- Grant, J. Kevin. "Ethics and Law Enforcement." FBI Law Enforcement Bulletin 71, no. 12 (2002): 11-14. <http://leb.fbi.gov/in-each-issue/archive>
- Raines, Julie. "Chapter 4: Police Officer Ethics Training." In Ethics in Policing: Misconduct and Integrity, 64-68. Sudbury: Jones and Bartlett, 2011.



Module 5

Police misconduct

Module 5

Police misconduct



Module aim:

Provide opportunities for the participants to reflect on police misconduct in order to relate integrity (and lack thereof) to concrete behaviours.



Learning objectives:

By the end of this session the participants will be able to:

1. Give examples of various types of police misconduct.
2. Categorise police misconduct.
3. Reflect on the consequences of misconduct.



Time: 65 minutes



Required material: Flip chart or board, markers

	Content	Method/action	Handouts/aids
1	Introduction	10' Presentation	
2	Scope of integrity violations	25' Brainstorming Plenary discussion	Facilitators' aid 1 & 2
3	Seriousness and consequences of misconduct	25' Individual reading Plenary discussion	Handouts 1
4	Conclusion	5' Plenary discussion	

Short description of the module:

The focus of this module is on police misconduct, or police behaviours resulting from lack of integrity. The participants will reflect on challenges to individual integrity and then discuss types and consequences of misconduct based on a series of case scenarios.

10'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Briefly describe briefly the focus of the module:

In this module, we will discuss how broad the concept of integrity is by looking at the variety of concrete behaviours to which a lack of integrity can lead. We will also reflect on how this variety of integrity violations can be classified, and on their consequences.

WHY - Relevance of the module

- ▶ Conduct a discussion with the participants:

The police are a professional group that is particularly at risk of engaging in misconduct. The challenges to integrity are big and frequent for police officers. Can you identify these risks or challenges?

- ▶ Complement and/or summarise with the following elements of response:

- The police must sometimes deploy harmful methods, such as coercion, deception, and deprivation of liberty, that are normally regarded as immoral. In certain circumstances of police work, they are necessary and considered morally justifiable, when dealing with dangerous criminals for example. However, they can have a "corruptive" influence on police officers who might use these methods in other situations when it is not morally justified, for example when dealing with innocent citizens.
- The police have high levels of discretionary powers. It means that they have to constantly make choices within the boundaries of the law, for example on whether or not to question, search, fine, arrest, prosecute, draw and use their weapon.

Note: The issue of discretionary powers is addressed in more detail in a separate paper, see Annex to Module 5, "Police Discretionary Powers: Impact on Integrity and Strategies of Control".

- Close supervision of police officers is often not possible.
- Police officers constantly interact with corrupt people who have an interest in compromising and corrupting them.
- Police officers operate in criminal environments in which negative temptations such as drugs and large amounts of money are plentiful.
- There might be high pressure on police officers to meet targets such as number of arrests.
- There might be a negative cultural influence on the police officer if other colleagues and/or the police hierarchy lack integrity.

Adapted from: Miller, Seamus, John Blackler, and Andrew Alexandra. *Police Ethics*. Crows Nest: Allen & Unwin, 2006:137-139.

- ▶ Explain to the participants:

Lack of integrity is often associated merely with corruption in the performance of police duties towards citizens. However, there are many more types of violations of integrity standards. Some are more serious than others. Some of these behaviours or actions are defined as illegal in laws or regulations, while others do not violate any written rule but are ethically wrong. Violations of integrity standards can occur while on-duty, in the workplace towards colleagues or in private life. Misconduct is not always committed with bad intentions. It can consist of the use of wrong means for a good end, or the use of good means for a wrong end. In this module, we will discuss and clarify the scope and settings in which misconduct can occur as well as their consequences.

Module 5 - Police misconduct

WHAT FOR - Objectives of the module



- ▶ Present the objectives of the module.

HOW - Sequence of the module



- ▶ Explain the sequence of the module.

25'

2. Scope of integrity violations

- ▶ Conduct brainstorming with the whole group in order to list “types” of misconduct.
- ▶ Write their answers on a flip chart or board.
- ▶ You can start the list with “bribery” in order to clarify what is expected from them if it is not clear from the start.
- ▶ Guide them to make sure they do not forget the most important types from Facilitators’ aid 1 and 2 and they cover a large variety of misconduct types.
- ▶ Once the list is satisfactory, facilitate discussion for the participants to categorise each listed type into:
 - Illegal / unprofessional / unethical behaviour
 - On duty / in the workplace / off duty
- ▶ **Facilitators’ aids 1 and 2** can help you.

Personal notes

25'

3. Seriousness and consequences of misconduct



- ▶ Distribute **Handout 1** to each participant.
- ▶ Give them 5-10 minutes to read them individually and to reflect on their seriousness and consequences.



Notes:

- You can also choose other case scenarios from Facilitators' aid 3 if they are more relevant to your context, invent new cases, or use real cases from your country.
- If time allows, instead of asking the participants to read the cases, you can divide them into small groups and task each group with preparing and presenting a role-play of one of the scenarios.



- ▶ Facilitate discussion with the whole group with the following questions for each case scenario:



- Do you think this behaviour is acceptable?
- What would be the correct behaviour?
- How often are you exposed to this type of behaviour?
- What are the benefits of the misconduct vs the benefits of the correct behaviour?
- What negative impact can it have on you / citizens / the police organisation / others?



4. Conclusion

- ▶ Summarise the key points of discussion.
- ▶ Re-emphasise the key messages for instance by saying:

“

- Integrity is not only about corruption. Neither is it only about respecting the law. The police officer is expected to behave with the highest level of integrity – in accordance with core values – in all circumstances, in any place and with anyone.
- Lack of integrity can have a negative impact on yourself, citizens, the police organisation and the society.

”

Module 5 - Police misconduct

Handout 1 - Misconduct case scenarios

- | |
|---|
| <p>1. There is a need for a new line manager in a police station. After receiving a call from a high-ranking member of the ruling party in the country, the station commander promotes one of the officers.</p> |
| <p>2. A police officer routinely accepts free meals, cigarettes, and other items of small value from merchants on her beat. She does not solicit these gifts and is careful not to abuse the generosity of those who give gifts to her.</p> |
| <p>3. A police officer stops a motorist for speeding. The officer agrees to accept half of the amount of the fine in exchange for not issuing a citation.</p> |
| <p>4. An off-duty police officer takes the bus to go to the shopping mall. If the controller asks him for his ticket, he shows him his police identification card.</p> |
| <p>5. A traffic patrol stops a vehicle for breach of the speed limit on the road. A police officer recognises the driver of the vehicle as a member of the Assembly. She presents herself, points to the committed offense and emphasises that she will not write penalties for committing a traffic offense.</p> |
| <p>6. Before the end of their shift, after a long and difficult day, police officers pass by a restaurant and notice that a fight is starting between several guests. One of them seems to hold a broken bottle in his hand. The officers are too tired so they walk away from the scene and do not take action.</p> |
| <p>7. A police officer never wants to share shifts with female colleagues. He always tells them that they are not suitable for the job, and constantly makes sexist jokes.</p> |
| <p>8. At the police station, a Roma woman reported that the family of her husband is harassing her. The police officer listens and then says: "We are not used to your people's culture and habits. You should deal with this issue among yourselves."</p> |
| <p>9. A young man who looks unkempt comes to the police station to report that his wallet was stolen. The police officer listens to him, but does not write a report because she does not believe him.</p> |
| <p>10. Two police officers on foot patrol surprise a man who is attempting to break into an automobile. The man flees. They chase him for about two blocks before apprehending him by tackling him and wrestling him to the ground. After he is under control, both officers punch him a couple of times in the stomach as punishment for fleeing and resisting.</p> |
| <p>11. A police officer finds a wallet in a parking lot. It contains an amount of money equivalent to a full day's pay for that officer. She reports the wallet as lost property but keeps the money for herself.</p> |
| <p>12. A police officer knows that one of his friends started to hang out with a group of criminals and that he is probably selling drugs. The officer behaves as if he is not aware of it and keeps spending time with this friend.</p> |
| <p>13. A police officer arrests a person for trafficking of a small amount of illegal drugs. The police officer promises to modify the charges against the suspect from "drug trafficking" to "possession for personal use" in return for information that will help arrest a man that has been involved in serious drug trafficking for a long time, but cannot be arrested due to lack of evidence.</p> |

Module 5 - Police misconduct

Facilitators' aid 1 - Scope of police integrity

Police Misconduct/Integrity violations			
Police crime		Police disciplinary violation	Police unethical behaviour
Violations of national or international criminal law		Violation of police internal rules, procedures, policies, discipline, and professional standards	Violation of moral norms and values that might be included in codes of ethics
Corruption Abuse of office or taking something in exchange of the performance/non performance of duty for private gain, whether material or immaterial	Other crimes Police officers breaking the law in other ways		

Police Misconduct/Integrity violations		
On duty (with citizens)	In the workplace (with colleagues and superiors)	Off duty
Such as: <ul style="list-style-type: none">• Discrimination towards citizens• Untimely response to crime• Excessive use of force• Corruption	Such as: <ul style="list-style-type: none">• Harassment of colleagues• Discrimination, favouritism or corruption in assignment, promotion, holidays, shift allocation	Such as: <ul style="list-style-type: none">• Domestic violence• Driving under the influence of alcohol• Abusive language

Module 5 - Police misconduct

Facilitators' aid 2 - Example of Police Misconduct classification

	Police crime	Police disciplinary violations	Police unethical behaviour
Off duty	In the workplace (with colleagues)	On duty (with citizens)	
	<ul style="list-style-type: none"> • ‘Kickbacks’: Receipt of goods, services or money for referring business to particular individuals or companies • Opportunistic theft: Stealing from arrestees ('rolling'), from traffic accident victims, crime victims and the bodies or property of dead citizens • Acceptance of a bribe for not following through with a criminal violation: not making an arrest, filing a complaint or impounding property • Planting, falsifying of, or adding to evidence (particularly but not exclusively in drugs cases) • Unjustified serious use of force against citizens (killing, brutalising, torturing) • Sexual harassment of citizens • Unjustified suppression of fundamental rights: freedom of speech, of movement, of association etc. • Lying to court • Blind obedience to illegal orders • Collusion with criminals • Corruption in the procurement process 	<ul style="list-style-type: none"> • Corruption of authority /gratuities: Receipt of material gain by virtue of their position without violating the law per se (e.g. free drinks, meals, services) • Undermining of criminal investigations or proceedings, or the 'losing' of traffic tickets • Improper use of physical or verbal violence towards citizens and suspects (rough handling, verbal abuse, humiliation, intimidation) • Abuse and manipulation of information (unauthorised and improper use of police files; leaking confidential information) • Discrimination and unequal treatment of citizens on ethnic, religion, sex, political or other grounds • Waste and abuse of organisational resources • Neglect of victims or detainees • Nepotism in performance of duties: favouring friends, relatives, members of same political or other types of group etc. 	<ul style="list-style-type: none"> • Inaction and laziness • Poor work quality • Giving incorrect statements to citizens • Closing eyes on or failure to point out to colleagues or superiors' misconduct or immoral actions
	<ul style="list-style-type: none"> • Internal payoffs - Prerogatives available to police officers (holidays, shift allocations, promotion) are bought, bartered and sold • Sexual harassment of colleagues 	<ul style="list-style-type: none"> • Nepotism in promotion, assignment, holidays, shift allocations etc. • Humiliation of colleagues • Unjustified absence at work • Abuse of sick leave 	<ul style="list-style-type: none"> • Favoritism • Pretending not to see workplace problems • Lying to colleagues • Abusive language with colleagues
	<ul style="list-style-type: none"> • Direct criminal activities - A police officer commits a crime against person or property for personal gain. • Domestic violence • Drunken driving • Use of confidential information for private purposes 	<ul style="list-style-type: none"> • Conflict of interest through jobs and activities, outside the organisation (e.g. 'moonlighting') • Use of police status in private disputes • Private relationships with criminals 	<ul style="list-style-type: none"> • Abusive language with personal relations • Excessive consumption of alcohol

Sources:

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Module 5 - Police misconduct

Facilitators' aid 3 - Additional misconduct case scenarios

1. A police officer approaches a man who is walking alone in the street at night, which the officer finds a bit suspicious because the man is wearing strange clothes. The officer asks him where he is going. The man says that he is not doing anything wrong and that his direction is not the officer's concern. It makes the officer angry, and he asks the man to show his ID. The man refuses. The police officer shouts at him. "You f... idiot, you have to obey a police officer, show me your ID!" The man still refuses so the officer makes him bend over a nearby car, handcuffs him, and charges him for refusal to cooperate with the police.
2. During a change of shift, a police officer receives information that a certain person is wanted for committing a crime. The requested person is a close friend of the officer, and he informs his friend that a warrant is being issued. Meanwhile, he does not act on the warrant on the grounds that the person cannot be found.
3. For many years, a police officer constantly hears his neighbour insulting and ridiculing the work of police officers. One day, the neighbour comes to the police station to report a burglary in his store. The police officer listens to him and takes the report, but does not follow the case although he has suspects in mind that could be the alleged perpetrators.
4. A police officer has unresolved disputes with his neighbour. Often, when he is working on traffic patrols, he stops his neighbour's vehicle and imposes fines on different grounds.
5. During the investigation of a crime scene, a police officer hides some of the key evidence and partly distorts the actual situation when drafting the report because the perpetrator is a close relative.
6. The boss of a police officer's wife is a few weeks late with the payment of wages to employees. The police officer, furious and in uniform, goes to the boss' office after working hours and demands that he meet his legal obligations.
7. A police officer is late for work, so he drives his private car in the "bus corridor" in order to beat the traffic.
8. An off-duty police officer out of duty goes to a bar and starts smoking inside. The owner tells him that smoking inside is not allowed. The officer identifies himself with his badge and continues smoking.
9. Two police officers manage to catch a person wanted for alleged drug trafficking. He offers them a large amount of money to let him go. The officers have low salaries and large families. They agree to let him go.
10. Police officers do not prevent a bar from remaining open after legal hours in exchange for regularly receiving 5% of the profits made during these hours.
11. Police officers arrive at the crime scene of a murder. While waiting for the investigative team, one of them notices a wallet with documents near the crime scene and steals it. Later that day, he contacts the owner of the wallet and extorts money from him with threats of reporting him for committing the crime.

Module 5 - Police misconduct

Facilitators' aid 3 - Additional misconduct case scenarios

- 12.** Two officers respond to the scene of a homicide involving a suspected drug dealer who is lying dead on the floor. No one else is present. During a search, the officers find \$20 cash in the suspect's pockets. One officer insists they are entitled to keep the money, which should be split between them. Would the situation be the same if it was \$200? \$2000? \$20.000?
- 13.** A police officer arrests a person for involvement in drug trafficking. The suspect had already been convicted in the past for this crime, however the evidence against him is limited. The suspect is prosecuted and put on trial. Fearing that the suspect will not be found guilty due to doubts about his innocence, the police officer modifies his/her testimony in court because he/she thinks that this is the only way to get justice done and keep the streets safe.
- 14.** A police officer has reliable information that a man has been involved for a long time in (choose crime). Following a formal search of the suspect's residence and car, the police do not find any incriminating evidence. The officer decides to plant evidence in order to ensure that the suspect will be prosecuted.
- 15.** The police arrest a suspect for involvement in a criminal network. During the interrogation process the suspect is uncooperative and will not provide any information or confess. The police officer in charge of the interrogation threatens to use force against the suspect in order to make him talk. The suspect confesses.
- 16.** When a police officer comes home after drinking some beers with colleagues, he sometimes beats his wife when she really annoys him.
- 17.** Police officials discover illegal migrants seeking to cross the border. While searching them, the officers deprive them of all their cash.
- 18.** Police officers suspect that a man is involved in the trafficking of drugs. They arrest him in a street full of people. Two officers catch him strongly on each side and make him bend on a car while a third officer searches him in the middle of the street.
- 19.** A traffic patrol stops a vehicle for committing a traffic offense. The driver of the vehicle puts money in his documents and hands it to the police officers. They take the money, return the documents, and remind him to respect the regulations and the speed limit.
- 20.** A woman comes running to police officers telling them that a man stole her wallet. She points towards the criminal and says, "It's him." There are two men in the direction she points to. One seems to be a national/from the national majority group, and the other one is clearly a foreigner/from a national minority group. The police officers run and catch the foreigner/man from the national minority because they know that members of this community are more likely to commit that type of offense.
- 21.** An off-duty police officer dressed in uniform goes to the doctor, and passes in front of the long queue of patients.

Module 5 - Police misconduct

Recommended Readings for Facilitators

1. Aspects of police misconduct

Lasthuizen, Karin., Leo Huberts, and Muel Kaptein. "Integrity Problems in the Police Organization: Police Officers' Perceptions Reviewed." In *Policing in Central and Eastern Europe: Deviance, Violence, and Victimization*, edited by Milan Pagon. Ljubljana: College of Police and Security Studies, 2002.

"Several dimensions are relevant in distinguishing specific forms of police integrity violations or forms of misconduct. For instance, are we dealing with behaviour on- or off-duty? Did it take place within the organization or are citizens and other organizations from outside the police force involved? Are we talking about misconduct with a 'noble cause' or is its sole goal private gain? Was it carried out with malice aforethought or was naivety the cause? Did it break a written rule and procedure or are (unwritten) norms and values in force at stake? And, how serious is the integrity violation?"

2. Challenges to integrity

Westmarland, Louise. "Police Ethics and Integrity: Breaking the Blue Code of Silence." *Policing and Society* 15, no. 2 (2005): 145-165.

"Clearly, the pressure to produce results is one factor that leads to an 'us and them' situation, strengthening internal solidarity, but also inappropriate loyalties or secretencies. Newton suggests that this is one of the main drivers in misconduct in modern police forces. She argues that "the police are constantly involved in the thankless task of trying to reconcile pressure from the media as the 'voice' of the public to do something about rising crime" (Newton, 1998: 56). Internal pressures for results also exist as peer admiration is reliant on the 'product of policing'*/namely, the arrest of suspects*/ as 'the means by which the arrest is effected, even in non-violent situations, . . . is of special relevance to individual status and sense of self'."

Miller, Seamus, John Blackler, and Andrew Alexandra. *Police Ethics*. Crows Nest: Allen & Unwin, 2006: 137-138.

"There are a number of causes of police corruption.

As discussed in previous chapters, in order to do their job effectively police have been given a number of rights and powers – such as the right to use coercive force in ways forbidden to others, and the power to do so – and wide discretion in the exercise of these rights and power. Police have many opportunities to abuse these powers: to harass the innocent with threats or trivial charges, to turn a blind eye to serious crime, and so on. They also face considerable temptations to avail themselves of these opportunities. They may be offered material inducements, such as money or favors, in return for protection or dropping of charges, for example. They may be tempted by the opportunity to express some personal prejudice against, say, a particular racial group. Or they may be influenced by the chance to avoid what we could think of as the costs of police work. After all, a lot of conscientious police work is unpleasant – dangerous or tedious or time-consuming. The temptation to take short cuts to avoid these costs, or to seek benefits to offset them, is considerable (see Case study 7.4).

A further contributing factor to police corruption is the inescapable use by police officers of what in normal circumstances would be regarded as morally unacceptable activity. The use of coercive force, including, in the last analysis, deadly force, is in itself harmful. Accordingly, in normal circumstances it is morally unacceptable. So it would be morally wrong, for example, for private citizens to take someone forcibly to their house for questioning or because they felt like some company. Similarly, locking people up deprives them of their liberty, and is therefore considered in itself morally wrong. Deception, including telling lies, is under normal circumstances morally wrong. Intrusive surveillance is in itself morally wrong – it is an infringement of privacy. And the same can be said of various other methods used in policing.

Coercion, depriving someone of liberty, deception, and so on are harmful methods; they are activities which, considered in themselves and under normal circumstances, are morally wrong. Therefore they stand in need of special justification. In relation to policing there is a special justification. These harmful and normally immoral methods are on occasion necessary in order to realise the fundamental end of policing, namely the protection of moral rights. Armed bank robbers might have to be threatened with the use of force if they are to give themselves up; a drug dealer might have to be deceived if a drug ring is to be smashed; a blind eye might have to be turned to the minor illegal activity of an informant if the flow of important information the informant provides in relation to serious crimes is to continue; a paedophile might have to be surveilled if evidence for conviction is to be secured. Such harmful and normally immoral activities can thus be morally justified in policing, and morally justified in terms of the ends that they serve. Nevertheless, the use of these harmful methods by police officers – albeit methods which in the right circumstances are morally justifiable – can have a corrupting influence on police officers. A police officer can begin by engaging in the morally justifiable activity of telling lies to criminals and engaging in elaborate schemes of deception as an undercover agent and end up engaging in the morally unjustifiable activity of telling

Module 5 - Police misconduct

Recommended Readings for Facilitators

lies and deceiving innocent members of the public or fellow officers. A police officer can begin by engaging in the morally justifiable activity of deploying coercive force to arrest violent offenders resisting arrest, and end up engaging in the morally unjustifiable activity of beating up suspects to secure a conviction.

Further, as a matter of sociological fact, police display a high degree of group identification and solidarity. In many ways such solidarity is a good thing: without it effective policing would be impossible. But it can also contribute to police corruption. Police who refrain from acting against their corrupt colleagues out of a sense of loyalty are often compromised by this failure and ripe for more active involvement in corrupt schemes.”

OSCE. “Guidebook on Democratic Policing.” Vienna: OSCE, 2008: 7.

“While on duty, a police officer typically has discretionary power in deciding which deviant behaviour to act on (obviously, acting within the bounds established in national law and policy). Exercising some discretion is at the very heart of policing: not every offence is worthy of police action nor is police action always the best solution to a problem. Additionally, police officers typically have some room for manoeuvre when using police powers, with the authority to make decisions on such matters as how much force to use and on whether to carry out arrests or searches.”

3. Types of police corruption/misconduct

Quah, Jon S. T. “Preventing Police Corruption in Singapore: The Role of Recruitment, Training, and Socialisation.” The Asia Pacific Journal of Public Administration 28, no. 1 (2006): 59-75.

“[F]or present purposes, the preferred definition is one provided by Roebuck and Barker (1974: 118), namely that police corruption is ‘any type of proscribed behavior engaged in by a law enforcement officer who receives or expects to receive, by virtue of his official position, an actual or potential unauthorized material reward or gain’.

Apart from providing a more detailed definition, Roebuck and Barker also identified eight types of police corruption on the basis of a content analysis of the literature on police corruption from 1960-1972 and the police work experience of one of the authors. The first form is corruption of authority, which occurs when a police officer ‘receives officially unauthorized, unearned material gain by virtue of his position as a police officer without violating the law per se’. The corruptors are usually ‘respectable’ citizens who are showing their gratitude for efficient police work by rewarding the police officers with such gratuities as free meals, free goods, and cash payments. The Knapp Commission on Police Corruption (1978: 170) found that the acceptance of these gratuities by police officers was the most widespread pattern of corruption in New York City’s Police Department.

Kickbacks are the second type of police corruption. Police officers usually receive kickbacks in the form of goods, services or money from legitimate businessmen for referring business to them. As the policeman interacts with many persons when on the beat, s/he appears to be the logical ‘ally’ for those businessmen who wish to sell their goods and services to those persons coming into contact with the policeman during a routine patrol. For example, in the United States, those providing kickbacks to police officers include owners of towing companies, garages, service stations and moving companies, as well as lawyers, doctors, bondsmen, undertakers and taxicab drivers (Roebuck & Barker 1974: 120).

The third form of police corruption involves opportunistic theft, which refers to those acts of confiscating money, merchandise or other property by police officers in the course of performing their routine duties. For example, policemen investigating burglaries may keep money or merchandise left behind by the thieves. Police officers may also confiscate items from unprotected property sites discovered during their patrols. Such items include money or merchandise from unlocked businesses, unguarded items from industrial or business organisations, and building materials from construction sites. In addition, policemen may be guilty of keeping such confiscated evidence discovered during vice raids as money, liquor, drugs and property. The Knapp Commission (1972: 184-186) identified the two types of opportunistic theft that were prevalent among the members of the New York City Police Department: stealing the personal belongings of a ‘DOA’(dead on arrival) and burglarising the premises if the deceased had been living alone; and stealing items left behind by thieves in burglarized premises.

Fourth, shakedowns or bribes occur opportunistically when policemen witness or are aware of criminal violations and violators and later accept bribes for not making arrests. In the United States, ‘clean’money has been distinguished from ‘dirty’money. ‘Clean’money refers to bribes obtained from transporters of contraband such as gambling paraphernalia and bootleg liquor, or from traffic violators. Policemen accepting such bribes are not viewed as deviant by their peer groups. In contrast, those officers who take bribes from drug pushers, burglars or robbers are guilty of accepting «dirty» money and considered to be deviant by their colleagues (Roebuck & Barker 1974: 122). The Knapp Commission (1972: 68-69)

Module 5 - Police misconduct

Recommended Readings for Facilitators

reported that policemen had received bribes from various sources: illegal gambling operators, narcotics law violators, prostitutes, unlicensed bars, food store owners, motorists with traffic violations, tow-truck companies and loansharks.

The fifth form of police corruption occurs when police officers provide protection for those involved in illegal activities in return for payment. For example, owners of such vice operations as gambling, narcotics and prostitution make payments to the police so that they will be allowed to continue their illegal activities without any harassment. Moreover, legitimate businessmen operating illegally also participate in this form of corruption. In the United States, taxi-drivers pay some police officers in return for certain privileges including 'illegal permission to operate outside prescribed routes and areas, to pick up and discharge fares at unauthorized sites, to operate cabs that do not meet safety and cleanliness standards, and to operate without proper licensing procedures' (Roebuck & Barker 1974: 122).

The sixth type of police corruption is the 'fix' which refers to either the 'quashing of prosecution proceedings following the offender's arrest' or the 'taking up of traffic tickets. Those who have been arrested make use of the fix to avoid court action and those found guilty of traffic violations resort to the same method to avoid blemishing their driving records. The fixer is either a detective or police officer conducting the investigation on which the prosecution proceedings will be based. In traffic cases, the fixer is usually the police officer who issues the traffic ticket and who later agrees to dispose of the ticket in return for payment.'

The seventh form of police corruption becomes apparent when police officers indulge in direct criminal activities such as burglary and robbery. No corruptor is involved as the policemen are committing crimes against the person or property for their own material gain and in violation of both departmental and criminal norms. Needless to say, this type of police corruption is not condoned by most police peer groups or by the public at large.

The final type of police corruption is the internal payoff which involves police officers only. Policemen buy, barter or sell certain prerogatives (work assignments, off-days, holidays, vacation periods, control of evidence, and promotions) from or to their colleagues. For example, officers administering the distribution of assignments and personnel receive payoffs for assigning officers to certain divisions, precincts, units, details, shifts and beats; or for ensuring that certain officers are kept in, or excluded from, particular work assignments. As already mentioned, this practice of bribing other officers to ensure transfers to lucrative positions is also found in the Royal Malaysia Police."

Prenzler, Tim. *Police Corruption: Preventing Misconduct and Maintaining Integrity*. New York: CRC Press Taylor & Francis Group, 2009.

"Scholars have produced different typologies and terminology that attempt to meaningfully differentiate between varieties of misconduct and cover the full spectrum of police misconduct types (e.g., Barker, 1983). . . . It should . . . be noted that there is considerable overlap in common usage of the key terms 'corruption' and 'misconduct'. Misconduct is often used as a broad, all encompassing term, with corruption carrying a more narrow meaning focused on illegal material benefits (see Punch, 2003, p. 171). However, in practice the terms are frequently used interchangeably."

The following is a six-part typology of police corruption and misconduct (adapted from Prenzler, 2002). The six categories are designed to capture both the breadth of possible misconduct and also discrete types. As noted, apart from helping to focus analysis of causes, they also have utility in developing prevention efforts aimed at preempting all possible misconduct types.

1. **Graft** or 'classic corruption' involves officers misusing their position for personal benefit. Bribery, for example, involves payment for officers not doing their duty. Graft of this type may be highly organized, as in a 'protection racket,' where police receive a regular fee from a brothel or gambling den for not raiding premises and prosecuting the proprietors. This is a common type of misconduct found by judicial inquiries. Graft can also be irregular and 'opportunistic,' such as taking cash 'on the spot' for not charging an apprehended drug dealer or a speeding motorist. Corruption is often consensual, but it can involve police extorting money from criminals, in the form of 'shakedowns,' or from legitimate businesses or the public. Classic corruption may also include police obtaining a benefit through theft of property from persons in custody, or from reselling seized drugs or selling confidential information. In some cases, classic corruption includes gifts and discounts (gratuities). These are sometimes called 'petty corruption' because they are usually small in value but entail an expectation of favorable treatment by police to the gift giver (Sigler & Dees, 1988).
2. **Process corruption** involves tampering with, or fabricating, evidence, as revealed in miscarriage of justice cases. The victims of this type of corruption may be innocent or guilty of crimes, but the police pursue a conviction in court through fraudulent means. Process corruption involves any perversion of the course of justice, including police lying in the witness box, withholding contrary evidence, or coercing suspects into making confessions. It can also occur in the investigation phase, when information is obtained by illegal searches or wiretaps, or when suspects are not informed of their rights or are denied legal advice.

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Recommended Readings for Facilitators

3. **Excessive force** or ‘brutality’ covers the range of forms of unjustified force. This can be anything from ‘rough handling’ – such as excessive frisking – through to serious assault, torture, and murder. Verbal abuse, intimidation, and threats of violence also belong in this category, as do dangerous high-speed vehicle pursuits (which pose a physical threat). The capacity of police to use force is normally restricted to ‘minimal,’ reasonable,’ or ‘proportionate’ force, required when police intervene to protect people, arrest resisting suspects, or act in self-defense. Actions such as shooting fleeing suspects or arbitrarily frisking people are normally illegal.
4. **Unprofessional conduct or miscellaneous misconduct** is a broad category covering other types of deviance directed towards the public – sometimes grouped together in typologies such as ‘misconduct’ or ‘disciplinary offenses.’ This area is distinguished from graft in that there is no clear or direct material benefit to the officer involved. Unprofessional conduct can include harassment and incivility, racial or sexual discrimination, inaction and laziness, misuse of confidential information (e.g., looking up the address of a person for nonwork-related reasons), and neglect of crime victims or detainees. It can include refusal to cooperate with other law enforcement agencies. And it can extend to decisions in investigations and prosecutions that deliberately favor relatives or friends – ‘nepotism’ and ‘cronyism’ – and discriminate against ‘enemies,’ including political parties or other activist organizations or social groups. (These actions might be described as ‘corruption’ in some accounts.) The use of police status in pursuit of private disputes also belongs in this category.
5. **Internal corruption or workplace deviance** includes harassment of police employees and discrimination or favoritism in assignment and promotion (including sexual harassment and discrimination of the type documented by Hunt, 1990). It can include payments for favorable postings or promotion, along with abuse of sick leave, being intoxicated on the job, and lower level misuse of departmental time and resources. The category also includes criminal offenses against the police organization or on the job, such as embezzlement and illicit drug use.
6. **Unbecoming or unprofessional conduct off duty** includes criminal offenses and inappropriate behavior committed off duty but deemed to reflect adversely on the officer’s work – such as drunk driving, assault, and abusive language.”

Further readings:

- Klockars, Carl B., Sanja Kutnjak Ivkovich, William E. Harver, and Maria R. Haberfield. “The Measurement of Police Integrity.” Washington, D. C.: National Institute of Justice, 2000.
- Newburn, Tim. “What is Police Corruption?” In Understanding and Preventing Police Corruption: Lessons from the Literature, 4-13. London: Research, Development, and Statistics Directorate, 1999.
- Newburn, Tim. “The Causes of Police Corruption.” In Understanding and Preventing Police Corruption: Lessons from the Literature, 14-25. London: Research, Development, and Statistics Directorate, 1999.
- OSCE. “Police Ethics for Preserving Personal and Professional Integrity.” Belgrade: OSCE, 2014.
- Prenzler, Tim. “Chapter 2: Understanding Police Misconduct.” In Police Corruption: Preventing Misconduct and Maintaining Integrity. New York: CRC Press Taylor & Francis Group, 2009.
- Punch, Maurice. “Police Corruption and Its Prevention.” European Journal on Criminal Policy and Research 8, no. 3 (2000): 301-324.
- Raines, Julie. “Chapter 5: Measuring Attitudes toward Police Misconduct.” In Ethics in Policing: Misconduct and Integrity. Sudbury: Jones and Bartlett, 2011.
- Roebuck, Julian B. and Thomas Barker. “A Typology of Police Corruption.” Social Problems 21, no. 3 (1974): 423-437.
- Westmarland, Louise. “Police Ethics and Integrity: Breaking the Blue Code of Silence.” Policing and Society 15, no. 2 (2005): 145-165. <http://www.tandfonline.com/doi/abs/10.1080/10439460500071721>

Module 5 - Police misconduct

Participant's Handbook

Challenges to integrity:

The challenges to integrity are particularly big and frequent for police officers and their temptations to engage in misconduct higher because:

- The police must sometimes deploy harmful methods, such as coercion, deception, and deprivation of liberty, that are normally regarded as immoral. In certain circumstances of police work, they are necessary and considered morally justifiable, when dealing with dangerous criminals for example. However, they can have a “corruptive” influence on police officers who might use these methods in other situations when it is not morally justified, for example when dealing with innocent citizens.
- The police have high levels of discretionary powers. It means that they have to constantly make choices within the boundaries of the law, for example on whether or not to question, search, fine, arrest, prosecute, draw and use their weapon. Close supervision of police officers is often not possible.
- Police officers constantly interact with corrupt people who have an interest in compromising and corrupting them.
- Police officers operate in criminal environments in which negative temptations such as drugs and large amounts of money are plentiful.
- There might be high pressure on police officers to meet targets such as number of arrests.
- There might be a negative cultural influence on the police officer if other colleagues and/or the police hierarchy lack integrity.

Police misconduct:

Police misconduct is police behaviour(s) resulting from lack of integrity. Lack of integrity is often associated merely with corruption in the performance of police duties towards citizens. However, there are many more types of violations of integrity standards. Some are more serious than others. Some of these behaviours or actions are defined as illegal in laws or regulations, while others do not violate any written rule but are ethically wrong. Violations of integrity standards can occur while on-duty, in the workplace towards colleagues or in private life.

Scope of police misconduct - legality

Police Misconduct/Integrity violations			
Police crime		Police disciplinary violation	Police unethical behaviour
Violations of national or international criminal law		Violation of police internal rules, procedures, policies, discipline, and professional standards	Violation of moral norms and values that might be included in codes of ethics
Corruption	Other crimes		
Abuse of office or taking something in exchange of the performance/non performance of duty for private gain, whether material or immaterial	Police officers breaking the law in other ways		

Scope of police misconduct - context

Police Misconduct/Integrity violations		
On duty (with citizens)	In the workplace (with colleagues and superiors)	Off duty
Such as: <ul style="list-style-type: none">• Discrimination towards citizens• Untimely response to crime• Excessive use of force• Corruption	Such as: <ul style="list-style-type: none">• Harassment of colleagues• Discrimination, favouritism or corruption in assignment, promotion, holidays, shift allocation	Such as: <ul style="list-style-type: none">• Domestic violence• Driving under the influence of alcohol• Abusive language

Module 5 - Police misconduct

	Police crime	Police disciplinary violations	Police unethical behaviour
Off duty	In the workplace (with colleagues)	On duty (with citizens)	
	<ul style="list-style-type: none"> • ‘Kickbacks’: Receipt of goods, services or money for referring business to particular individuals or companies • Opportunistic theft: Stealing from arrestees (‘rolling’), from traffic accident victims, crime victims and the bodies or property of dead citizens • Acceptance of a bribe for not following through a criminal violation: not making an arrest, filing a complaint or impounding property • Planting, falsifying of, or adding to evidence (particularly but not exclusively in drugs cases) • Unjustified serious use of force against citizens (killing, brutalising, torturing) • Sexual harassment of citizens • Unjustified suppression of fundamental rights: freedom of speech, of movement, of association etc. • Lying to court • Blind obedience to illegal orders • Collusion with criminals • Corruption in the procurement process 	<ul style="list-style-type: none"> • Corruption of authority /gratuities: Receipt of material gain by virtue of their position without violating the law <i>per se</i> (e.g. free drinks, meals, services) • Undermining or criminal investigations or proceedings, or the ‘losing’ of traffic tickets • Improper use of physical or verbal violence towards citizens and suspects (rough handling, verbal abuse, humiliation, intimidation) • Abuse and manipulation of information (unauthorised and improper use of police files; leaking confidential information) • Discrimination and unequal treatment of citizens on ethnic, religion, sex, political or other grounds • Waste and abuse of organisational resources • Neglect of victims or detainees • Nepotism in performance of duties: favouring friends, relatives, members of same political or other types of group etc. 	<ul style="list-style-type: none"> • Inaction and laziness • Poor work quality • Giving incorrect statements to citizens • Closing eyes on or failure to point out to colleagues or superiors’ misconduct or immoral actions
	<ul style="list-style-type: none"> • Internal payoffs - Prerogatives available to police officers (holidays, shift allocations, promotion) are bought, bartered and sold • Sexual harassment of colleagues 	<ul style="list-style-type: none"> • Nepotism in promotion, assignment, holidays, shift allocations etc. • Humiliation of colleagues • Unjustified absence at work • Abuse of sick leave 	<ul style="list-style-type: none"> • Favoritism • Pretending not to see workplace problems • Lying to colleagues • Abusive language with colleagues
	<ul style="list-style-type: none"> • Direct criminal activities - A police officer commits a crime against person or property for personal gain. • Domestic violence • Drunken driving • Use of confidential information for private purposes 	<ul style="list-style-type: none"> • Conflict of interest through jobs and activities, outside the organisation (e.g. ‘moonlighting’) • Use of police status in private disputes • Private relationships with criminals 	<ul style="list-style-type: none"> • Abusive language with personal relations • Excessive consumption of alcohol

Sources:

- Prenzler, Tim. *Police Corruption: Preventing Misconduct and Maintaining Integrity*. New York: CRC Press Taylor & Francis Group, 2009.
- Punch, Maurice. “Police Corruption and Its Prevention.” *European Journal on Criminal Policy and Research* 8, no. 3 (2000): 301-324.
- OSCE. “Police Ethics for Preserving Personal and Professional Integrity.” Belgrade: OSCE, 2014.
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Module 6

Peer control and reporting of misconduct

Module 6

Peer control and reporting of misconduct



Module aim:

Raise awareness on the importance and challenges of taking action when faced with alleged misconduct of colleagues.



Learning objectives:

By the end of this session the participants will be able to:

1. Discuss the need for peer control.
2. Reflect on the existing reporting and protection mechanisms.
3. Discuss the negative and positive consequences of taking action against alleged misconduct of colleagues.



Time: 60 minutes



Required material: Flip chart or board, markers, sheets of paper, pens, small box or basket

	Content	Method/action	Handouts/aids
1	Introduction	5'	Presentation
2	Reporting inappropriate behaviour of colleagues	25'	Brainstorming Plenary discussion
3	Consequences of peer control	25'	Brainstorming Plenary discussion
4	Conclusion	5'	Presentation

Short description of the module:

Drawing on real cases, the participants will reflect on channels and means they have at their disposal for taking action if they witness misconduct by their peers, the consequences of doing so, and its importance for integrity.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Explain to the participants:

“

This module focuses on the need to have individual police officers controlling their peers, the different means of taking action when faced by inappropriate behaviour of peer police officers or superiors, and the positive and negative consequences of reporting.

”

WHY - Relevance of the module

- ▶ Ask the participants:

?

Why do you think this topic is important?

- ▶ Allow several participants to provide answers while facilitating the debate.

- ▶ At the end, make a summary emphasising that:

”

The ‘police code of silence’ or the fact that police officers very rarely talk about misconduct by peers is a reality in most countries of the world. It is a sign of solidarity between colleagues which has reasons and some positive implications. Reporting colleagues and superiors can have negative repercussions on the person who reports. However, police officers should also be aware that it is very hard to foster integrity in a police service without the efforts of all police employees who work professionally and with integrity and would like the whole organisation to enhance its integrity. Integrity cannot be strengthened if no one ever talks about the behaviours that undermine it both at an individual and organisational level.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

2

25'

2. Reporting and protection mechanisms



- ▶ Distribute a blank sheet of paper to all participants and ensure they all have pens.
- ▶ Tell the participants to write on the paper a situation where they saw colleagues or superiors act inappropriately, without any names. Tell them that if they do not know a real story, they should invent a realistic one. The story has to be very short (1-3 lines).
- ▶ Ask the participants to fold the paper into 4.
- ▶ Collect their answers in a box or basket.
- ▶ Read all stories out loud.
- ▶ Write on the flip chart or board after reading each story what type of cases they refer to (bribery, lying, use of police status for personal purposes etc.). If some types of cases are the same, note how many participants wrote them.
- ▶ Select 3 cases with different degrees of seriousness that would require different reporting actions and for which reporting would bear different consequences.



Notes: If time does not allow collecting real stories through the method presented above, you can select case scenarios from Handout 1 and Facilitators' aid 3 of module 5. However, if time allows, an alternative activity is to make participants role-play cases in small groups. Distribute roles so that at least one participant plays the police officer who did something wrong, another one the witnessing colleague, and a third one the superior, internal control official or external oversight stakeholder.

- ▶ Facilitate discussion about the existing reporting mechanisms and channels by asking the participants:



- If you wanted to report these cases, how would you do it?
- Whom would you tell and how?
- What options are there for taking action?



- ▶ Complement and/or summarise with the following elements of response:

- Talking to the colleague in question
- Talking to other colleagues
- Talking to a superior
- Addressing internal control
- Addressing external police oversight bodies.



- ▶ Discuss the reporting climate and the protection mechanisms in place:

- Do you feel that you are able to address problems and be supported by superiors and the organisation if you do so?
- Are there mechanisms in place in your country to protect police officers who take action against peers' misconduct from negative repercussions?

- ▶ Show the participants the relevant extracts from national legislation on reporting and protection mechanisms (for instance, laws/rules on protection of whistle-blowers of misconduct or corruption, laws/rules that encourage or make reporting an obligation and others).

25'

3. Consequences of peer control



- ▶ Draw on the flip chart or board:

**Positive and negative consequences of taking action
when witnessing inappropriate behaviour**

Case 1: ...

+	-

Case 2: ...

+	-

Case 3: ...

+	-

Personal notes

Module 6 - Peer control and reporting of misconduct



- ▶ Ask the participants to tell you positive and negative consequences of taking action (for the person who reports, for the person who behaved inappropriately, for superiors, for the police organisation, for the public) in each of the 3 cases of the previous activity.
- ▶ Write them down in the respective columns of the table.
- ▶ Facilitate discussion by asking the following questions:



- What would be your own reaction in those 3 cases?
- What would you say if they were asked by a superior officer, internal control, or a court to tell what you saw?
- Do you know of a case when someone **reported** a colleague's inappropriate behaviour and it had **negative or positive** consequences?
- Do you know of a case when someone **did not report** a colleague's inappropriate behaviour and it had **negative** consequences?



- ▶ As a conclusion, re-emphasise the general positive consequences of taking action:

- Taking action **enhances police integrity**. It is difficult to strengthen the integrity of the police if misconduct and inappropriate behaviour is always kept secret and covered up by peers.
- It **enhances accountability**. Police officers who behave inappropriately should answer for their actions and take responsibility for them. They might be warned or punished.
- If police officers are held accountable for their actions, it might **prevent** them from behaving inappropriately again and serve as an **incentive** to all police officers to act with **integrity**.
- Efficient peer control and reporting **increases the public's perception of and level of confidence** in the police. Those police officers who behave inappropriately tarnish the image of the whole police service and damage the trust the citizens have in the police.
- It creates the impression that such behaviour is **not tolerated** within the organisation, and thus facilitates the emergence of a **culture of integrity**.



4. Conclusion



- ▶ Summarise the main conclusions from the discussions.
- ▶ Re-emphasise key messages.

Module 6 - Peer control and reporting of misconduct

Recommended Readings for Facilitators

1. Understanding Reporting of Misconduct

OECD. "Protection of Whistleblowers: Study on Whistleblower Protection Frameworks, Compendium of Best Practices and Guiding Principles for Legislation." OECD, 2011: 7-8.

"There is no common legal definition of what constitutes whistleblowing. The International Labour Organization (ILO) defines it as 'the reporting by employees or former employees of illegal, irregular, dangerous or unethical practices by employers'....

The Council of Europe Civil Law Convention on Corruption refers to 'employees who have reasonable grounds to suspect corruption and who report in good faith their suspicion to responsible persons or authorities'....

Key characteristics common to whistleblowing could therefore include: i) the disclosure of wrongdoings connected to the workplace; ii) a public interest dimension, e.g. the reporting of criminal offences, unethical practices, etc., rather than a personal grievance; and, iii) the reporting of wrongdoings through designated channels and/or to designated persons."

2. Code of Silence

Newburn, Tim. "Understanding and Preventing Police Corruption: Lessons from the Literature." London: Research, Development, and Statistics Directorate, 1999.

"Sherman (1978) argues that corrupt police departments are socially organised in relation to a number of informal rules. The rules have two main purposes. First, to minimise the chances of external control being mobilised and, secondly, to keep corrupt activities at a 'reasonable' level. The rule most often referred to in this connection, is the rule of silence. 'Officers are socialised into not cooperating with investigations of their colleagues. Whether or not he participates financially in corruption activities, an officer's adherence to the 'blue curtain of secrecy' rule puts him squarely within the 'corruption system', the members of an organisation who comply with the deviant goal'. (Sherman, 1978:47)

Discussing police occupational culture in Britain, McConville and Shepherd (1992:207) say 'the most important thing that probationary officers learn in their first few months in the police is the need to keep their mouths shut about practices, including those in breach of the rules, which experienced officers deem necessary in discharging policing responsibilities'. Secrecy becomes 'a protective armour shielding the force as a whole from public knowledge of infractions' (Reiner, 1992:93).

It is not just secrecy, but the strong bonds of loyalty within 'police culture' that is identified in several official inquiries as both facilitating and encouraging corruption and hampering inquiries and control efforts. The Wood Commission found that: 'The strength of the code of silence was evident during the Commission hearings. Almost without exception officers approached by the Commission initially denied ever witnessing or engaging in any form of corrupt activity. Even with an undertaking that police would not be disciplined for failing to report certain forms of corruption, the offer of amnesty and the availability of protection against self-incrimination, officer after officer maintained this stand until presented with irrefutable evidence to the contrary. Each knew the truth, yet the strength of the code, and the blind hope that no one would break it, prevailed.' (Wood, 1997a:155)."

Skolnick, Jerome. "Corruption and the Blue Code of Silence." Police Practice and Research 3, no. 1 (2002): 7-19.

"The most recent disturbing illustration of the Code, occurred when officers in the NYPD's 70th precinct did not protest when they saw a Haitian immigrant, Abner Louima, being marched around the station house with his pants around his ankles. Officer Justin Volpe proudly showed off the results of a sadistic anal assault. He waved a broken broomstick stained with blood and feces around for all his fellow officers to see, even bragging to Sergeant Kenneth Wernick that 'I took a man down tonight.' Yet no police officer came forward that night to report Volpe. Why should Volpe have believed that he could count on police officers to abandon their obligation to report crime and to apprehend perpetrators? A key reason is fear of retribution, as explained by Officer Bernard Cawley in his testimony before the 1994 Mollen Commission:

Question: Were you ever afraid that one of your fellow officers would turn you in?

Answer: Never

Question: Why not?

Answer: Because it was the Blue Wall of Silence. Cops don't tell on cops. And if they did tell on them, just say if a cop decided to tell on me, his career's ruined. He's going to be labeled as a rat. So if he's got fifteen more years to go on the job, he's going to be miserable because it follows you wherever you go. And he could be in a precinct he's going to have nobody to work with. And chances are if it comes down to it, they're going to let him get hurt. (Mollen, 1994: 53-54).

Module 6 - Peer control and reporting of misconduct

Recommended Readings for Facilitators

If loyalty is one reason for sustaining the Code, and fear of retaliation a second, a third is that, even more than most workers, police usually know about the misconduct of other cops – such as visiting a ‘beat wife’ or a prostitute, or having ‘cooped’ in a movie theater seat while on duty. Nobody wants to open a Pandora’s box of snitching and counter-snitching. Some of the police who saw Louima with his pants down may themselves have administered ‘tune-ups’ to teach a lesson of compliance. Volpe and three other officers had actually done that to Louima who, they believed wrongly, was the man who had punched Officer Volpe in a fracas that had erupted outside a Brooklyn nightclub. So at least three others were already complicitous with Volpe. And then there is what might be called ‘The Bad Cop, Good Cop Dilemma.’ Police are caught between the imperatives of the Blue Wall of Silence and Police Department rules compelling an officer who knows of police misconduct to notify Internal Affairs investigators immediately. If the officer promptly reports, he’s labeled a ‘rat’ or a ‘cheese eater.’ If he doesn’t, he may later have a hard time explaining why he failed to report promptly. Given these pressures, police usually lapse into silence and talk about the misconduct of other cops only when pressured by Internal Affairs investigators or by threat of prosecution.”

3. Need/Obligation for reporting

Prenzler, Tim. **Police Corruption: Preventing Misconduct and Maintaining Integrity.** New York: CRC Press Taylor & Francis Group, 2009: 38-39.

Loyalty and Whistleblowing

As we have seen, the danger and stress of police work make solidarity an important part of the coping mechanisms of police. But solidarity can easily become a cloak of silence and secrecy behind which corruption flourishes. Police who witness misconduct then become torn between their duty to reveal the truth and help stop corruption, and group pressures to keep silent. The latter pressures can be extremely intense, including ostracism, bullying, and even death threats. However, the importance of police integrity and the difficulties of detecting integrity make it essential that police make disclosures about observed or suspected misconduct, and this has also become a basic ethical position, as in Article 8 of the UN code shown in Sidebar 3.2:

Sidebar 3.2: United Nations Code on Loyalty and Whistle-Blowing

Law enforcement officials who have reason to believe that a violation of the present Code has occurred or is about to occur shall report the matter to their superior authorities and, where necessary, to other appropriate authorities or organs vested with reviewing or remedial power.”

4. Potential negative consequences of taking action

Johnson, Roberta Ann. “Whistleblowing and the Police.” **Rutgers University Journal of Law and Urban Policy** 1, no. 3 (2005): 74-83.

“There are almost always dire consequences to whistleblowers, to their careers, and to their personal lives as a result of their actions. Some organizations make whistleblowing very difficult, and therefore, less probable. The police department is one of these organizations. In this paper I will argue that the character of the police department not only makes whistleblowing less likely to occur, it ironically makes it even more necessary. In addition, I will demonstrate that resistance from police departments and their retaliation against whistleblowers costs them and the public dearly.

The Costs of Retaliation:

The police practice of informally or officially punishing whistleblowers has a great negative impact upon society. It impacts the police because their unwillingness to support whistleblowers means they lose their best source of information on corrupt practices. Fellow police officers, as we have seen, are usually the only witnesses to wrongful behavior. Discouraging them from acting responsibly and from coming forward promotes wrongdoing and further supports the wrongdoers.

In addition, a strong argument can be made that it is in the self-interest of police departments to accommodate police whistleblowers. Whistleblowers allow problems to be detected and addressed in-house. But if whistleblower concerns are not heard, the problems may fester, grow, and explode into a scandal. By default, it will be left to outsiders, like grand juries, special commissions, investigative reporters, and irate citizens to expose and address police abuse while publicly embarrassing the departments. And in our complex world, even drug dealers can play the role of the ‘irate citizen’ and cause a scandal. In 1986, according to David Durk, corrupt police officers stole money and drugs from drug dealers.

Module 6 - Peer control and reporting of misconduct

Recommended Readings for Facilitators

The drug dealers complained to their probation officers about the theft and their complaint triggered a grand-jury investigation of police wrongdoing.

Society at large also pays a price for police whistleblower retaliation. Although wrongful behavior is not the norm in policing, nevertheless, the department pattern of ignoring the message of dangerous and illegal police practice and punishing the messenger who reports it increases danger to the larger community. It leaves the wrongdoers unchanged and unchecked. This has serious implications when we are asked to trust the police to protect our safety and to preserve our rights and our property. . . .

When police officers who come forward to expose wrongdoing are silenced, it allows the corrupt practices to continue on our streets.”

5. Importance of whistleblower protection

OECD. “Whistleblower Protection: Encouraging Reporting.” OECD, 2012.

[“Whistleblower protection: encouraging reporting”](#)

The risk of corruption is significantly heightened in environments where the reporting of wrongdoing is not supported or protected. Public and private sector employees have access to up-to-date information concerning their workplaces' practices, and are usually the first to recognise wrongdoings. However, those who report wrongdoings may be subject to retaliation, such as intimidation, harassment, dismissal or violence by their fellow colleagues or superiors. In many countries, whistleblowing is even associated with treachery or spying.

Whistleblower protection is therefore essential to encourage the reporting of misconduct, fraud and corruption. Providing effective protection for whistleblowers supports an open organisational culture where employees are not only aware of how to report but also have confidence in the reporting procedures. . . . The protection of both public and private sector whistleblowers from retaliation for reporting in good faith suspected acts of corruption and other wrongdoing is therefore integral to efforts to combat corruption, safeguard integrity, enhance accountability, and support a clean business environment.”

Further readings:

- Johnson, Roberta Ann. “Whistleblowing and the Police.” Rutgers University Journal of Law and Urban Policy 1, no. 3 (2005): 74-83. <http://www.bmartin.cc/dissent/documents/>
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- Newburn, Tim. “The Causes of Police Corruption.” In Understanding and Preventing Police Corruption: Lessons from the Literature, 19-20. London: Research, Development, and Statistics Directorate, 1999.
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- Westmarland, Louise. “Police Ethics and Integrity: Breaking the Blue Code of Silence.” Policing and Society 15, no. 2 (2005): 145-165. <http://www.tandfonline.com/doi/abs/10.1080/10439460500071721>

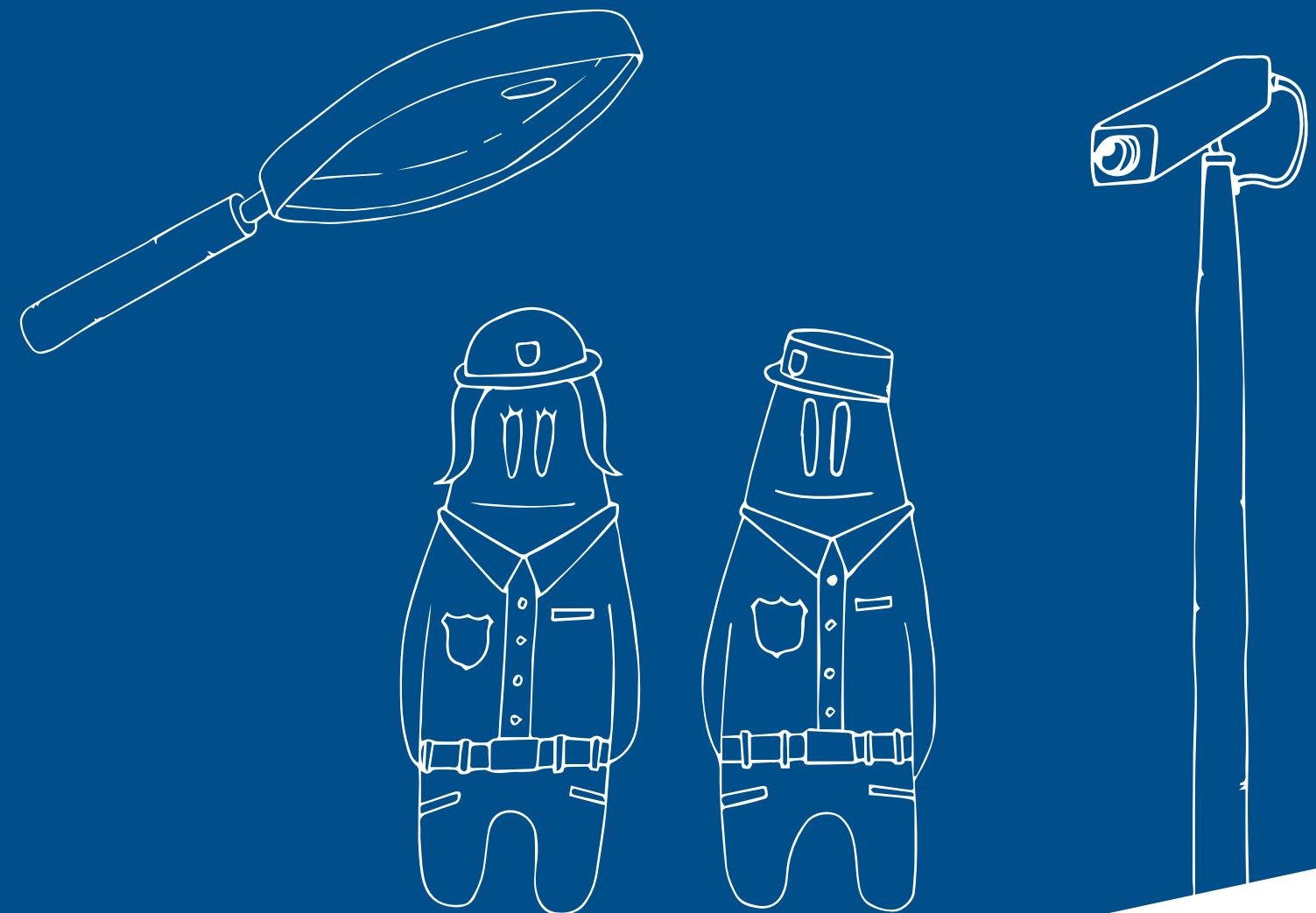
Module 6 - Peer control and reporting of misconduct

Participant's Handbook

The “police code of silence” or the fact that police officers very rarely talk about misconduct by peers is a reality in most countries of the world. It is a sign of solidarity between colleagues which has reasons and some positive implications. Reporting colleagues and superiors can have negative repercussions on the person who reports. However, police officers should also be aware that it is very hard to foster integrity in a police service without the efforts of all police employees who work professionally and with integrity and would like the whole organisation to enhance its integrity. Integrity cannot be strengthened if no one ever talks about the behaviours that undermine it both at an individual and organisational level.

The importance of peer control:

- Taking action enhances police integrity. It is difficult to strengthen the integrity of the police if misconduct and inappropriate behaviour is always kept secret and covered up by peers.
- It enhances accountability. Police officers who behave inappropriately should answer for their actions and take responsibility for them. They might be warned or punished.
- If police officers are held accountable for their actions, it might prevent them from behaving inappropriately again and serve as an incentive to all police officers to act with integrity.
- Efficient peer control and reporting increases the public's perception of and level of confidence in the police. Those police officers who behave inappropriately tarnish the image of the whole police service and damage the trust the citizens have in the police.
- It creates the impression that such behaviour is not tolerated within the organisation, and thus facilitates the emergence of a culture of integrity.



Module 7

Police accountability

Module 7

Police accountability



Module aim:

Allow the participants to discuss the functioning of police accountability mechanisms and their importance for ensuring police integrity, with a particular focus on internal control.



Learning objectives:

By the end of this session the participants will be able to:

1. List police accountability mechanisms in place in the country.
2. Describe the mission and functions of internal control.
3. Discuss the functioning of internal control.
4. Explain why accountability and internal control are essential for building police integrity.



Time: 60 minutes



Required material: Flip chart or board, markers, pens

	Content	Method/action	Handouts/aids
1	Introduction	5' Presentation	
2	Accountability mechanisms	20' Pair activity Presentation	Handout 1 Facilitators' aid 1
3	Functioning of internal control	15' Plenary discussion	
4	Benefits of accountability and internal control	15' Brainstorming	
5	Conclusion	5' Presentation	

Short description of the module:

This module discusses mechanisms that aim to ensure that the police act as they should in conformity with their mandate. Police officers, like any professional group, often have negative feelings towards control. This module aims to clarify, in a non-confrontational way, the roles and functioning of these mechanisms, and to emphasise that they contribute to preserving the police officers' individual integrity as well as that of the organisation. This module requires preparation from the facilitators on the accountability mechanisms and the internal control systems in place in their country.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Introduce the topic:

Police accountability is ensured through internal control and external oversight. Internal control is a function of the police or the ministry of interior aimed at ensuring that the police service operates effectively, efficiently and with integrity. It includes executive functions and rests within the police chain of command. The primary responsibility for preventing, detecting and sanctioning misconduct lies with the internal control mechanisms. External oversight is concerned with the monitoring of police behaviour to prevent and detect misconduct. External oversight bodies generally do not have direct capacity to modify police conduct but can make recommendations. They also oversee the efficiency and fairness of the internal control mechanisms.

”

This module discusses the internal and external mechanisms in place in our country. In particular, the module looks at the function and the functioning of internal control, as well as at the benefits of accountability for police integrity.

”

WHY - Relevance of the module

- ▶ Tell the participants:

”

Because of the special powers given to the police, it has to be controlled to ensure integrity, public trust and legitimacy. There needs to be multiple accountability mechanisms, internal and external to the police, that can complement each other. In this sense, internal control is an ally for all honest and professional employees in preserving their integrity and the integrity of their organisation.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

20'

2. Police accountability (mechanisms & actors)



- ▶ Divide the participants into pairs.
- ▶ Distribute **Handout 1**.
- ▶ Give the participants 5 minutes to answer the 3 questions on the handout.
- ▶ Collect their answers in a discussion with the whole group.
- ▶ Complement and/or summarise with the following elements of response:



Accountability mechanisms and actors:

Internal (depending on model)

- Internal control unit
- Managerial control
- Audit departments
- Disciplinary and ethics bodies

External

- Parliament
- Judiciary and prosecution
- Media
- Civil society organisations and academia

And depending on the context

- External police oversight bodies and complaints commissions
- Ombuds-institutions
- Anti-corruption bodies
- Ad hoc inquiries

Mission/aims of internal control:

- Ensure that police services operate as they should
- Increase the performance and integrity of the organisation
- Increase police accountability and transparency
- Increase public trust in the police

Functions of internal control:

1. Prevention of misconduct (communication, deterrence, monitoring)
2. Reaction (detection, investigation, sanction)

Module 7 - Police accountability



- ▶ Make a structured presentation about the police accountability system in place in your country and the roles of the different internal control mechanisms and external oversight bodies.
- ▶ If there is a specialised control unit in your Ministry/service, refer to its mission and mandate stipulated in laws or internal documents.
- ▶ Explain more in detail the roles, procedures and activities in relation to the two functions of internal control. Although each country model is different, **Facilitators' aid 1** can help you prepare this presentation.

Notes: Often associated with internal control are the functions of analysing the effectiveness, efficiency and quality of police work, and making recommendations at the organisational level on how to address the conditions that led to certain problems. Sometimes referred to as “professional standards”, these functions are at times the responsibility of the same organisational units as control, but are functionally distinct.



3. Functioning of internal control

- ▶ Conduct a brainstorming on what are the principles that should be respected by internal control while performing its functions.
- ▶ Write down answers on the flip chart or board.
- ▶ Complement and/or summarise with elements of **Facilitators' aid 2**.
- ▶ Facilitate group discussion in order to identify areas where internal control is functioning well.
- ▶ Collect suggestions on how to improve other areas that might be perceived as not functioning so well.
- ▶ Make a summary of the input and clarify any point so as to ensure proper understanding.



4. Benefits of accountability (internal & external)

For the integrity of the organisation:

For the integrity of the officers:

- Reinforces the efficient service delivery by eliminating bad practice
- Indicates that misbehaviour is taken seriously
- Allows transparency to inform citizens about incidents, responses, and measures to avoid repetition
- Protects reputation
- Increases public trust
- Improves community relations
- Enhances professional standards

- Protect them against false accusations
- Protect honest and professional officers from the effects of the bad reputation of the police because of a few unprofessional colleagues
- Ensure that managers are also controlled from above or outside
- Give officers the opportunity to complain about problems in the workplace, misconduct of colleagues, mobbing, harassment etc.

5'

5. Conclusion



▶ Summarise the key messages and main conclusions of the discussions.

▶ You may want to ask the participants:

- Can you summarise the key functions of internal control?
- Can you summarise why control and accountability are key to integrity?
- Has this lesson changed some of your perceptions of internal control and external oversight mechanisms?

Personal notes

Module 7 - Police accountability

Handout 1 - Internal control – Mission and functions

Instructions: Answer the following questions.

- What are the mechanisms and institutions that contribute to police accountability in your country?

• ...

• ...

• ...

• ...

- What is the mission of an internal control system of the Ministry of Interior/Police?

• (What are the aims of internal control?)

• ...

• ...

• ...

• ...

- What are the 2 functions of internal control?

1. ...

2. ...

Module 7 - Police accountability

Facilitators' aid 1 - Examples of internal control activities

Control activities

Preventive

- Deterrent methods: existence of integrity testing, monitoring, random checks and inspections.
- Internal and external communication: of standards, procedures, rights, complaint mechanisms, redress process etc.
- Monitoring: collection and analysis of data on complaints, disciplinary measures, risks assessments, perception surveys of citizens and police officers etc.

Reactive

- Inspections
- Surveillance
- Collection and analysis of complaints
- Integrity testing
- Background checks
- Investigation
- Decision or recommendation on sanction or corrective measures

Facilitators' aid 2 - Principles of internal control

- Fairness: access to information should be granted to the officer who is being controlled; the procedure of control should ensure that there is a balance between the rights of the subject of control (for instance the right to privacy) and interests of the organisation and the public; the outcome of control, notably any decisions having an impact on the career of the officer controlled, should not be biased but based on credible and adequate information; investigation procedures should respect the principles of presumption of innocence; investigations should be prompt.
- Legality: in accordance with rules and regulations, respect for the human rights of the police officers.
- Necessity: the control must be deemed necessary in order to prevent, detect or address misconduct.
- Proportionality: the extent and intensity of control and any imposed sanctions that result thereof must be proportional to the gravity of the behaviour and the individual/organisational interests involved.
- Impartiality: the control must be performed by a neutral body/individual; all police officials regardless of rank, status or other criteria should be equally subject of control.

Module 7 - Police accountability

Recommended Readings for Facilitators

1. Accountability mechanisms

Miller, Seamus, John Blackler, and Andrew Alexandra. Police Ethics. Crows Nest: Allen & Unwin, 2006: 141.

"Detection and deterrence of police corruption are achieved in large part by institutional mechanisms of accountability, both internal and external, and by policing techniques such as complaints investigation, use of informants, auditing, surveillance, and testing. Here the constitutive tendency to corruption in police work, as described above, can be used to justify an extensive system of accountability mechanisms – a system more extensive than may be necessary in other professions. The tendency to corruption can also be used to justify the deployment of techniques of detection and deterrence that might not be acceptable in some other professions."

In most police services there is an array of accountability mechanisms, including internal accountability on the part of individual members of the police service to their superiors and to departments of internal affairs. Typically there are also mechanisms to ensure external accountability of a police service to government and the community."

2. External Oversight

OSCE. "Guidebook on Democratic Policing." Vienna: OSCE, 2008: 25-26.

IV. Police Accountability and Transparency

IV.1 Accountability and Control

"80. While citizens voluntarily provide the police with their consent for applying the monopoly of force to maintain social control and enforce their civil, political and economic freedoms, democratic police services have the obligation to have their powers checked and controlled by the public through accountability processes.

81. Therefore, "efficient measures to ensure the integrity and proper performance of police staff" need to be developed.

82. In Copenhagen in 1990, the OSCE participating States solemnly declared that the police must be under the supervision of, and accountable to, civil authorities. Oversight Institutions

83. Police accountability means that police activity – ranging from the behaviour of single police officers to the strategies for police operations, appointment procedures or budget management – is open to observation by a variety of oversight institutions.

84. Oversight institutions may include the executive (policy control, financial control and horizontal oversight by government agencies), the legislature (members of parliament, parliamentary commissions of enquiry), the judiciary, as well as human rights commissions, civilian complaint review boards or independent ombudspersons. Furthermore, the media can play an important role in providing the public with information on police activities. Ultimately, democratic police services can be distinguished by their submission to, and acceptance of, outside supervision and examination and the degree of openness of these examinations.

85. Most civilian oversight institutions deal with public complaints against the police. The degree to which they are involved in the complaints process, however, varies substantially. While some oversight organizations take responsibility for receiving and investigating complaints – sometimes only in cases of serious misconduct or if internal investigations appear faulty – others are limited to overseeing and reviewing investigations carried out by the law enforcement agencies themselves. Similarly, while some bodies have no influence on the punishment of misconduct, others can make recommendations on disciplinary action or even have the power to impose sanctions.

86. Without external oversight mechanisms, police leaders would have the freedom not to investigate or punish misconduct, which could lead to ineffective internal control. External oversight mechanisms may also achieve greater impartiality (at least in the public's view) in the investigation of serious allegations against police officers. Furthermore, they may be better placed to encourage police officers to give evidence against other officers, particularly against supervisors.

87. Nevertheless, external oversight mechanisms have to be complemented by internal control and oversight, because in a number of instances internal investigation mechanisms might have structural advantages such as a greater amount of resources, more available data (police archives; witness reports; police officer statements), and better knowledge of the police environment. Furthermore, these structural advantages may inspire more confidence among accused officers that the enquiry will be fairly conducted, increasing their willingness to co-operate with investigators. Either way, police agencies must investigate all allegations of misconduct to ensure the integrity of their operations and personnel. Minor offences might be investigated by an immediate superior, while more serious offences need to be investigated by police bodies outside the immediate chain of command, such as internal investigation units, or ad-hoc disciplinary committees composed

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Recommended Readings for Facilitators

of senior police officers, or even by external civilian oversight bodies, particularly when it comes to investigations against high-ranking officers. Information on the procedures to be followed after registering complaints should be made available to the public to motivate them to file justified complaints. Even anonymous complaints have to be investigated, and, although these may be difficult to investigate, the agency should carefully review each complaint for validation before discrediting or ignoring it. Investigation and disciplinary procedures must carefully balance the rights of the citizen and the rights of the officer.

88. In any case, some form of civilian oversight and transparent handling of the results of investigations are an important way to enhance public confidence in the police and to achieve legitimacy with the community. Public trust in the police can easily be destroyed by improper police action, particularly when follow-up investigations or administrative action are not prompt, thorough, and/or appropriate.”

3. Importance of an effective complaints system for accountability

UNODC. “Handbook on Police Accountability, Oversight and Integrity.” Vienna: United Nations, 2011: 34

“One feature of an effective accountability system is a procedure for dealing with complaints against police officers, as filed by the public as well as by fellow police officers. While accountability comprises more than a complaints system alone, an effective system that enjoys the confidence of the public and the police alike is an important indicator of high standards of accountability and is likely to help police in restoring or enhancing public confidence. The procedure must ensure that complaints are dealt with appropriately and proportionally.

Importance of ensuring that members of the public can file complaints

It is crucial for members of the public to be able to file complaints against the police. In most countries, people can file a complaint directly with the police, usually with the station commander or a district chief of police, who then decides on the next steps, which could include an investigation. However, members of the public may feel reluctant to file a complaint about the police with the police themselves. Usually a complaint can also be filed directly with the prosecutor’s office. Members of the public should be in a position to file a complaint against the police (and indeed be facilitated in doing so), if they feel they have been wrongly treated. This is important because:

- In the absence of a complaint, an investigation is unlikely to be initiated.
- If there is no complaint, the police will miss a potential learning opportunity that could lead to an improvement in services.
- The lack of a complaint may lead to impunity for the offender and a culture of impunity in the longer term.”

4. Internal control mechanisms

Prenzler, Tim and Carol Ronken. “A Survey of Innovations in the Development and Maintenance of Ethical Standards by Australian Police Departments.” Police Practice and Research 4, no. 2 (2003): 149-161.

“Components of an advanced control system

Overt use of recording devices can be used in areas at-risk for misconduct such as interviews with suspects and in police detention facilities (CJC, 1997). (Police use of small recording devices in routine police citizen encounters can also assist to protect police from false complaints.)

Covert high technology surveillance can overcome problems of lack of witnesses or lack of supervision capacity by secretly recording conversations and actions that may involve misconduct (Marx, 1992).

Integrity testing entails simulated corruption opportunities to monitor officers’ compliance with the law and codes of conduct. Targeted testing is directed at individual officers or groups where investigations fail to allay suspicions. Random integrity testing is highly controversial and designed to provide a more comprehensive and objective source of detection and prevention through the random assignment of monitored misconduct opportunities (Henry, 1990; KPMG, 1996).

Drug and alcohol testing has been introduced in response to inquiry findings about police use of illicit drugs and drinking on duty (Wood, 1997).

Internal informants report behaviour and information considered privy within police informal networks. Advertising the presence of these ‘spies’ can aid deterrence (Henry, 1990).

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Recommended Readings for Facilitators

Complaints profiling of individual officers and organizational units allows for the development of interventions such as re-training, counselling or management change (Ede, Homel and Prenzler, 2002).

Supervisor accountability involves reviews of line managers' performance that include assessments of the level of behaviour problems occurring under their command, with results clearly linked to promotion or continuation of command (Knapp, 1972; Mollen, 1994).

Integrity reviews can occur in all progression decisions. Recruitment processes include psychological and ethics tests as well as independent referee reports. As personnel move through training and are deployed and promoted, the diversity of integrity assessment sources can be expanded to include integrity test results and complaints profiles (Newburn, 1997).

Mandatory reporting of observed, suspected or rumoured misconduct is designed to challenge the code of silence and is enforceable if unreported misconduct comes to light (Fitzgerald, 1989).

Witness protection includes provision of safe havens, as well as penalties for persecuting informants (Fitzgerald, 1998). Compulsory rotation in corruption-prone sections is designed to prevent police exploiting corruption opportunities over the long term (by developing bonds with organized crime figures or establishing corruption networks) (Sherman, 1978). Asset and financial reviews, targeted or random, may provide evidence of an officer living beyond their means or at-risk of succumbing to corruption opportunities (Palmer, 1992).

Surveys of police can be used as a way of anonymously gauging officers' perceptions of levels and types of misconduct. Ethics surveys can identify predisposing attitudes towards misconduct (CJC, 1997).

Public surveys can identify perceptions of police conduct. Surveys or interviews with subgroups having direct contact with police, such as arrestees, can also assess specific indicators of police behaviour (CJC, 1997).

Personnel diversification is aimed at breaking down the culture of solidarity through civilianization and recruitment of people from diverse ethnic backgrounds and older, more educated, people (Fitzgerald, 1989). Recruitment of women is especially conducive to breaking down the macho culture and reducing police–citizen conflict.

Compulsory integrated ethics training reinforces messages about organizational commitment to integrity throughout an officer's career and through the numerous specializations within policing. Ethics training should also assist to clarify expectations and assist in managing ethical dilemmas (such as how to reject offers of gratuities without causing offence) (Kleinig, 1996).

Inquisitorial methods and a civil standard of proof have been adopted in police disciplinary hearings, judicial inquiries and external tribunal hearings in response to failed prosecutions of police in criminal courts where a higher standard of proof applies. The emphasis should be on fact-finding and removal of incorrigible officers, rather than criminal convictions and penalties. A fair appeals system is needed to balance the surrender of the right to silence (Prenzler, 2000).

Complaint resolution includes forms of mediation and communication or apology with complainants (CJC, 1997). Resolution is designed to balance the need to avoid covering up misconduct with the need to respond efficiently to the large numbers of complaints that hold little hard evidence of misbehaviour. Complaint resolution can function diagnostically as a misconduct strategy when integrated with complaints profiling.

Monitoring and regulation of police procedures in areas such as informant relations and securing of drug exhibits can clarify processes and reduce opportunities for corruption (Wood, 1997; Dixon, 1999).

Decriminalizing vice is not strictly an internal initiative but police should be lobbying to reduce their involvement in areas of traditional market-driven corruption such as prostitution and drugs (Sherman, 1978).

Risk analysis involves the use of complaints data and other intelligence to identify areas which are 'corruption hazards' and which may be amenable to interventions such as tightened regulations, rotation or overt surveillance (Knapp, 1972; Sherman, 1978).

Module 7 - Police accountability

Further readings:

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Module 7 - Police accountability

Participant's Handbook

Police accountability:

Police accountability is ensured through internal control and external oversight.

- Internal control is a function of the police or the ministry of interior aimed at ensuring that the police service operates effectively, efficiently and with integrity. It includes executive functions and rests within the police chain of command. The primary responsibility for preventing, detecting and sanctioning misconduct lies with the internal control mechanisms.
- External oversight is concerned with the monitoring of police behaviour to prevent and detect misconduct. External oversight bodies generally do not have direct capacity to modify police conduct but can make recommendations. They also oversee the efficiency and fairness of the internal control mechanisms.

Accountability mechanisms and actors:

Internal (depending on model)

- Internal control unit
- Managerial control
- Audit departments
- Disciplinary and ethics bodies

External

- Parliament
- Judiciary and prosecution
- Media
- Civil society organisations and academia

And depending on the context

- External police oversight bodies and complaints commissions
- Ombuds-institutions
- Anti-corruption bodies
- Ad hoc inquiries

Mission/aims of internal control:

- Ensure that police services operate as they should
- Increase the performance and integrity of the organisation
- Increase police accountability and transparency
- Increase public trust in the police

Examples of internal control activities:

Preventive:

- Deterrent methods: existence of integrity testing, monitoring, random checks and inspections.
- Internal and external communication: of standards, procedures, rights, complaint mechanisms, redress process etc.
- Monitoring: collection and analysis of data on complaints, disciplinary measures, risks assessments, perception surveys of citizens and police officers etc.

Reactive:

- Inspections
- Surveillance
- Collection and analysis of complaints
- Integrity testing
- Background checks
- Investigation
- Decision or recommendation on sanction or corrective measures

Module 7 - Police accountability

Participant's Handbook

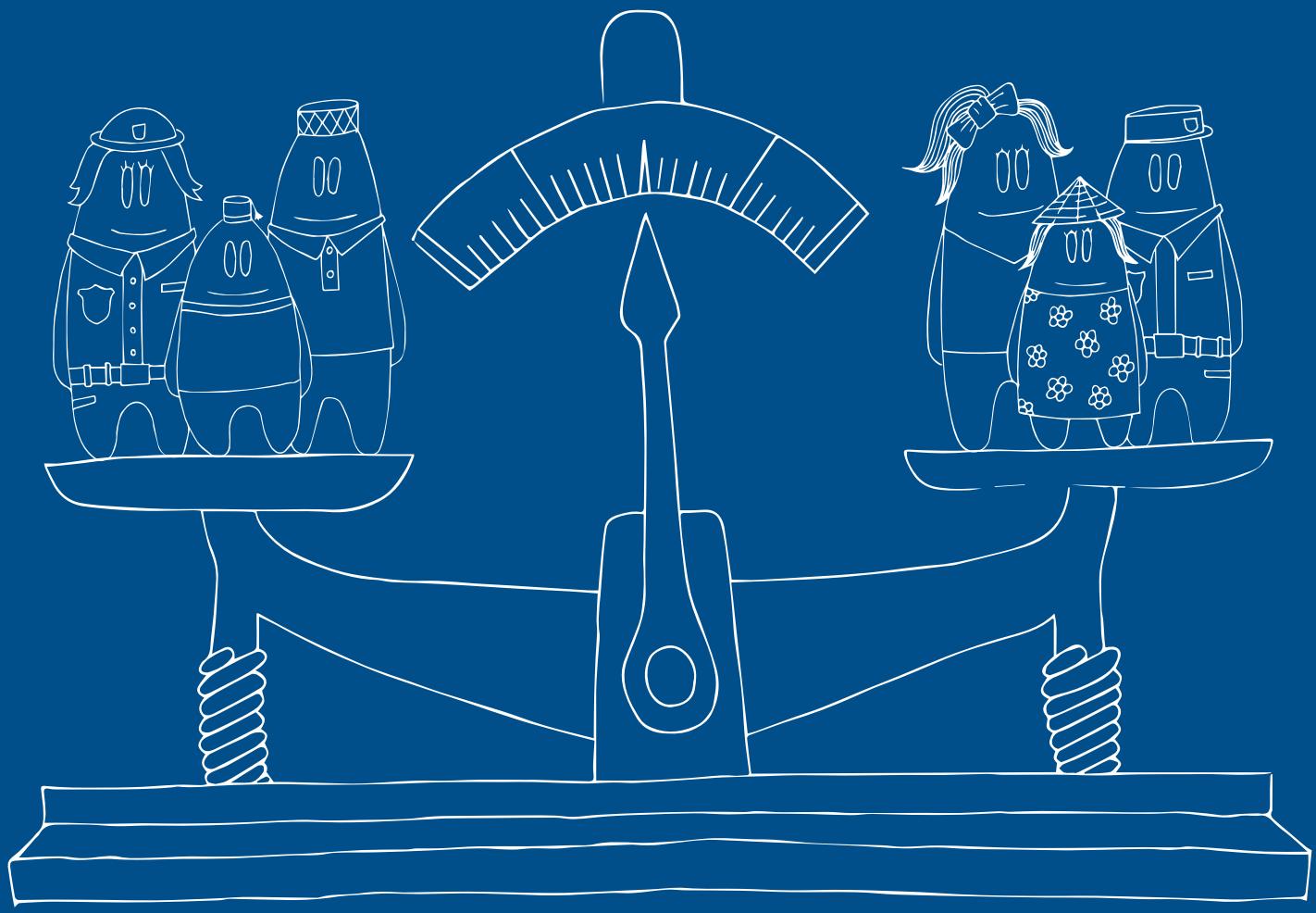
Benefits of Accountability (internal and external):

Benefits for the Organisation:

- Reinforces the efficient service delivery by eliminating bad practice
- Indicates that misbehaviour is taken seriously
- Allows transparency to inform citizens about incidents, responses, and measures to avoid repetition
- Protects reputation
- Increases public trust
- Improves community relations
- Enhances professional standards

Benefits for Individual Officers:

- Protects them against false accusations
- Protects honest and professional officers from the effects of the bad reputation of the police because of a few unprofessional colleagues
- Ensures that managers are also controlled from above or outside
- Gives the opportunity for officers to complain about problems in the workplace, misconduct of colleagues, mobbing, harassment etc.



Module 8

Gender equality, non-discrimination and
police integrity

Module 8

Gender equality, non-discrimination and police integrity



Module aim:

Provide the participants with an opportunity to comprehend the roles of police officers in promoting the principles of gender equality and non-discrimination.



Learning objectives:

By the end of this session the participants will be able to:

1. Define gender equality and non-discrimination.
2. Identify the relevance of gender equality and non-discrimination to police integrity.
3. Describe their individual responsibilities as police officers in promoting gender equality and non-discrimination.



Time: 95 minutes



Required material: Flip chart or board, markers, pens

	Content	Method/action	Handouts/aids
1	Introduction	10' Presentation	
2	Understanding gender	10' Individual activity Plenary discussion	Handout 1
3	Gender equality in police work	25' Brainstorming Plenary discussion	Handout 2
4	Gender equality in the police workforce	25' Brainstorming Group activity	Handout 3
5	Non-discrimination and policing	20' Brainstorming Plenary discussion	
6	Conclusion	5' Presentation	

Short description of the module:

Gender equality and non-discrimination are some of the key values for integrity that police officers should respect. This module looks more closely at why these principles are particularly important and gives police officers the opportunity to reflect on what they can do to uphold these values in their work and workplace.

10'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Introduce briefly the focus of the module.
- ▶ Ask the participants how they would define gender equality and non-discrimination.
- ▶ Collect a few answers.
- ▶ Show and read these definitions of the two terms:

“

Gender equality = equal right of women and men to opportunities and resources regardless of their gender or the sex with which they were born.

Non-discrimination = treating people fairly, without prejudice or stereotypes.

”

WHY - Relevance of the module

- ▶ Ask the participants how gender equality and non-discrimination relate to the integrity of the individual police officer and the integrity of the organisation.
- ▶ Split a flip chart or board into two columns. Write “police organisation” on one side and “police officer” on the other side.
- ▶ Write down their answer.
- ▶ Complement and/or summarise with the following ideas:

Individual police officers

Police organisation

- Individual attitudes
- Respect for everyone
- Treating all citizens equally
- Creating a positive work environment

- **Gender equality and non-discrimination are fundamental to the rule of law.** All individuals, regardless of their gender, sex, age, religion, class, sexual orientation, or disability, should be protected by and accountable to laws that are known publicly, enforced impartially and consistent with international and national human rights norms and standards.
- **Gender equality and non-discrimination are essential to effective and accountable provision of security services.** An effective police service employs the most competent candidates, regardless of their gender or social group. Operationally, gender equality and non-discrimination also allow the police to identify and meet the security needs of the entire population.
- **Gender equality and non-discrimination are prerequisites for public trust in the police and its legitimacy as a state institution.** Police legitimacy and public confidence in the police are both reinforced when all citizens, regardless of their gender, sex, age, religion, class, or other status, feel that they are represented in the police, that they are treated fairly, and that their security needs are addressed.

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

10'

2. Understanding gender



- ▶ Present the following definitions:

Sex refers to the biological, physiological and anatomical features people are born with. This means that the sex of males and females is the same throughout the world and throughout history.

Gender is learned and assigned. Girls and boys are taught and assigned different social characteristics, roles, behaviours and activities within a particular socio-cultural context on the basis of their sex. Gender roles, like society and culture, are changeable over time and vary within and across contexts. This means gender roles are not the same in all socio-cultural contexts, and within one socio-cultural context they will change and develop in relation to the changes experienced by that society.



- ▶ Distribute **Handout 1** to all participants and ask them to cross whether the given characteristics of men and women refer to gender or sex differences. Give them 2 minutes.
- ▶ Debrief with the whole group.

Trainer's Answer Key:

Gender Sex

1. Women are better at taking care of children	x	
2. Men have deeper voices than women		x
3. Engineering is a profession that is better suited for men	x	
4. Women are more sensitive and emotional while men are more rational	x	
5. Men like cars and guns while women like shopping for clothes and make up	x	
6. On average, women have less muscle and physical strength than men		x
7. Men are braver than women	x	
8. Women can bear children and breastfeed while men cannot		x
9. Men are responsible for supporting their family economically	x	



- ▶ In case there is debate or hesitation on certain assumptions, clarify by asking the following questions:

- Can it be different in different societies and over time?
- Is it in men and women's genes?
- Is it learned and internalised during education, in the family, or in the society?

- ▶ Conclude this definition by asking:

Is gender only about women?

Answer: No, it is about all people – men, women, boys and girls – and their different roles and characteristics that are shaped by society.

25'

3. Gender equality in police work

- ▶ Introduce the topic:

”

Why is gender relevant to policing and to police officers? The first reason is because the police must take into consideration the security needs of the whole of society, whatever their gender. As a general principle, men and women should be treated equally by the police, but they also have different risks and needs that must be acknowledged and addressed with equal attention.

”

- ▶ Distribute or show **Handout 2**.

Security threats against men, women, boys and girls

Men	Women	Boys	Girls
<ul style="list-style-type: none"> • Robbery (Australia: 75% of victims are male) • Assault • Homicide • Simple and aggravated assault • Gang violence • Forced to rape their own family members (particularly in conflict) • Rape and sexual torture • Human trafficking 	<ul style="list-style-type: none"> • Domestic violence • Sexual assault (USA: 92% of victims in workplace are women) • Dowry death • Sexual harassment • Rape • “Honour” killings • Stalking • Forced sterilization • Human trafficking 	<ul style="list-style-type: none"> • Gang violence • Child abuse and rape • Bullying • Kidnapping & abduction • Exposure & abandonment • Human trafficking • Buying/selling for prostitution 	<ul style="list-style-type: none"> • Infanticide • Child abuse and rape • Human trafficking • Kidnapping & abduction • Child marriage • Buying/selling for prostitution

- ▶ Ask the participants to read the table by themselves. Allow enough time for the whole group to read it.
- ▶ Then ask the participants their opinion about the table, focusing on which categories are overlapping and which ones are more specific to men and women.

- ▶ Complement and/or summarise:

”

This illustrates the extent to which gender influences security threats. For instance, men in many countries are more likely to encounter violence outside the home, committed by strangers, in the form, for example, of robbery, assault, homicide, and gang violence. Women are more likely to encounter violence in their home and at the hands of their husband or partner. They are at higher risk of domestic violence and sexual assault, as well as other forms of violence that specifically target women because of their gender.

”

Module 8 - Gender equality, non-discrimination and police integrity



- ▶ Conduct a brainstorming by asking the participants:



Can you think of other examples of violence that specifically targets women because of their gender?

- ▶ Record the participants' answers on a flip chart or board.
- ▶ Use the following list to compare their answers and suggest some not given by the participants:

- Domestic Violence
- Rape
- Sexual Assault
- Stalking
- Human and Sexual Trafficking
- Anti-gay or homophobic violence
- Forced Marriage – Child Marriage
- Forced Sterilization
- Forced Pregnancy
- Dowry Violence
- “Honour” Killings
- Sexual Harassment



- ▶ Generate a group discussion with the participants on the following questions:



- Is our organisation able to address the security risks of all men, women, boys and girls equally?
- Might we sometimes overlook or not pay sufficient attention to certain categories of crimes because they are not considered as such, or not as a priority?
- What should we do to address all of these risks?
- How can your integrity and gender awareness as a police officer contribute to addressing these security threats effectively?



Personal notes

25'

4. Gender equality in the police workforce

- ▶ Introduce the topic:

We will now discuss gender equality in the police itself. I would like to ask you to create a list of the characteristics, skills and qualifications that make a good police officer. What does it take to fulfill all the police functions and duties?

Notes: If you like, you can remind the participants that in most countries, 60% of calls for service to the police are for non-criminal acts.

- ▶ Facilitate brainstorming and write the skills mentioned by the participants on the flip chart or board.
- ▶ Record the answers and guide the participants to make sure they think of all the most important skills on this list:

- Intelligent
- Educated
- Trustworthy
- Committed and dedicated to the police mission
- Honest and fair
- Respectful
- Good communication skills
- Firearms proficiency
- Fitness and agility
- Problem solving skills
- Diplomatic
- Professional and presentable

Notes: It is not necessary to use physical force in order to successfully perform police functions. Therefore, unlike fitness and agility, strength should not be part of this list. If the participants want to include it, you can ask them in which situations there is no alternative to the use of physical force.

- ▶ Ask the participants a few questions following this model:

- ?
- Are there men who are fit and agile? Are there women who are fit and agile?
 - Are there men who are good at communication? Are there women who are good at communication?
 - What does that say?

- ▶ Summarise:

We want the police to employ, and to have as colleagues, only the most competent candidates who have these skills, regardless of their sex.

Module 8 - Gender equality, non-discrimination and police integrity



- ▶ Divide the participants into small groups.
- ▶ In order to introduce the activity, ask the whole group:



- Do you agree that respect, professionalism and integrity are key principles of policing?
- Do you agree that this means that there should be no abuse or disrespect in the police?

- ▶ Distribute **Handout 3** to the groups.
- ▶ Ask them to read the cases and discuss the following questions among themselves for 10 minutes:



- If you see or hear colleagues saying the given statements, or behaving as in the scenarios, do you think it is wrong?
- What is wrong with it?
- What is your professional role?
- How would you deal with that?



- ▶ Debrief each scenario with the whole group.

Personal notes

20'

5. Non-discrimination and policing



- Introduce the topic:

”

As defined in the introduction, non-discrimination means treating people without prejudice and stereotypes. In other words, this means treating people who are in a similar situation equally, unless there are objective and reasonable justifications for differential treatment.

Discrimination can happen based on different ‘grounds.’ Gender, which we just discussed, is one of these grounds.

”

1

- Ask the participants to elaborate the list of discriminatory grounds by brainstorming. Complement if necessary.



- Gender and sex
- Race
- Skin/hair colour
- Ethnic origin
- Genetic features
- Language
- Socio-economic status
- Physical appearance

- Political or any other opinion
- Membership of a national minority
- Religion or belief
- Birth
- Disability
- Age
- Clothing
- Sexual orientation



- Tell the participants:

”

One should not confuse discrimination with distinction. As a principle, exactly as for men and women, everyone should be treated equally by the police. However, there are also groups of people who have different security risks or might be particularly vulnerable and deserve special protection, for instance people with illnesses or disabilities.

As we discussed for gender, discrimination is an integrity issue both for the organisation and for police officers. Police officers must be exemplary in eliminating all forms of discrimination in their own work and among colleagues as they are responsible for upholding the rule of law. They should also combat crimes that are committed among the public based on discriminatory grounds.

”

3

- Generate an open discussion:

?

- Is it sometimes difficult as a police officer to apply the principles of non-discrimination?
- In which particular situations should the police strive to uphold this principle?



- Complement and/or summarise for instance with the following suggested elements:

- Exercise of discretion (for instance intervening vs not intervening; severity of sanctions etc.)
- Prioritising complaints and cases
- Respectful communication
- Identity checks, body/vehicle searches
- Profiling
- Patrolling
- Use of force
- Hasty judgments (as victims or suspects for instance)

5

6. Conclusion



- ▶ Re-state the learning objectives.
 - ▶ Summarise the main conclusions and key messages of this module.

Personal notes

Module 8 - Gender equality, non-discrimination and police integrity

Handout 1 - Understanding gender

Instructions: Mark whether the characteristics of men and women described refer to gender or sex differences.

Trainer's Answer Key:	Gender	Sex
10. Women are better at taking care of children		
11. Men have deeper voices than women		
12. Engineering is a profession that is better suited for men		
13. Women are more sensitive and emotional while men are more rational		
14. Men like cars and guns while women like shopping for clothes and make up		
15. On average, women have less muscle and physical strength than men		
16. Men are braver than women		
17. Women can bear children and breastfeed while men cannot		
18. Men are responsible for supporting their family economically		

Module 8 - Gender equality, non-discrimination and police integrity

Handout 2 - Security threats against men, women, boys and girls

Instructions: Mark whether the characteristics of men and women described refer to gender or sex differences.

Security threats against men, women, boys and girls			
Men	Women	Boys	Girls
<ul style="list-style-type: none">• Robbery (Australia: 75% of victims are male)• Assault• Homicide• Simple and aggravated assault• Gang violence• Forced to rape their own family members (particularly in conflict)• Rape and sexual torture• Human trafficking	<ul style="list-style-type: none">• Domestic violence• Sexual assault (USA: 92% of victims in workplace are women)• Dowry death• Sexual harassment• Rape• "Honour" killings• Stalking• Forced sterilization• Human trafficking	<ul style="list-style-type: none">• Gang violence• Child abuse and rape• Bullying• Kidnapping & abduction• Exposure & abandonment• Human trafficking• Buying/selling for prostitution	<ul style="list-style-type: none">• Infanticide• Child abuse and rape• Human trafficking• Kidnapping & abduction• Child marriage• Buying/selling for prostitution

Source: Denham Tara. "Police Reform and Gender." Edited by Megan Bastick and Kristin Valasek. Geneva: DCAF, OSCE/ODIHR, UN-INSTRAW, 2008.

Module 8 - Gender equality, non-discrimination and police integrity

Handout 3 - Case scenarios – gender equality in the police service

Instructions: Read the following case scenarios and think of the following points:

- ▶ If you see or hear colleagues saying the given statements, or behaving as in the scenarios, do you think it is wrong?
 - ▶ What is wrong with it?
 - ▶ What is your professional role?
 - ▶ How would you deal with that situation?
1. One of your female colleagues who is very clever and competent is with you on patrol. At some point you have to chase a fleeing suspected criminal. Your female colleague cannot run as fast as you and you are the one to catch him. After work that day, you have a beer with a colleague and recount your day of work. When you mention that part of the day, he says: "Really, I don't understand why we need to patrol with women, they are totally useless. Imagine how happy criminals would be, if there were only female police officers!"
 2. There is what we can call a "macho" culture in your police station. Some of your colleagues for instance hang posters of naked women on the walls and like to make jokes about women. Today, two male colleagues were chatting when a female colleague passed by. You heard them making offensive remarks of a sexual nature to her.
 3. A male and a female colleague of yours are about to leave the police station to respond to an emergency call. You witness the male colleague saying to his female partner: "Don't worry, I'll protect you and I'll do all the dangerous parts of the work. You can just stay away and watch if you like."

Module 8 - Gender equality, non-discrimination and police integrity

Recommended Readings for Facilitators

1. Legal foundation of non-discrimination principle

United Nations. “Universal Declaration of Human Rights.” Geneva: United Nations, 1948. <http://www.un.org/en/documents/udhr/index.shtml>

Article 1

All human beings are born free and equal in dignity and rights.

Article 2

Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status.

United Nations. “International Covenant on Civil and Political Rights.” Geneva: United Nations, 1966.

Article 26

All persons are equal before the law and are entitled without any discrimination to the equal protection of the law. In this respect, the law shall prohibit any discrimination and guarantee to all persons equal and effective protection against discrimination on any ground such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status.

2. Principles of non-discrimination in policing

OSCE. “Guidebook on Democratic Policing.” Vienna: OSCE, 2008: 17-18.

“Discrimination Issues”

36. In accordance with the democratic principle of equality before the law, the police are obliged to protect all citizens equally without discrimination and without distinction as to sex, race, colour, language, religion, opinion, social, national or ethnic origin, property, birth or other status.

37. According to international human rights standards, States are obliged to provide for “the right to security of person and protection by the State against violence or bodily harm, whether inflicted by government officials or by any individual group or institution”. Moreover, vulnerable groups or persons should enjoy particular protection.

38. The protection and promotion of persons belonging to national minorities is an “essential factor for democracy, peace, justice and stability within, and between [OSCE] participating States”. Therefore, the police must strive to use their special and unique powers to combat acts motivated by racism and xenophobia.

39. Guaranteeing the equal protection of all before the law also prohibits the police from discriminating against any person on the basis of race, gender, religion, language, colour, political opinion, national origin, property, birth or other status.

40. Discriminatory policing has the effect of criminalizing entire communities and denying them justice.” In this context, special attention must be paid to the practice of ethnic profiling. Profiling, in itself, can be a useful tool to assist law enforcement officers in carrying out their duties. Biased profiling (i.e. selecting individuals solely based on a common trait of a group), however, must be avoided. For instance, “being a member of a specific (ethnic) group who are stereotypically assumed to be more likely to be involved in crime cannot be used as grounds for suspicion”. The discriminatory practice of “profiling of Roma and Traveller groups tends to be Europe-wide” and has been recognized by the OSCE participating States as a particular problem.

41. Inappropriately high levels of law enforcement in minority communities, taking the form, for example, of disproportionate numbers of patrols among, or menacing behaviour towards specific groups or certain communities – by sometimes heavily armed units must be avoided.

42. Closely related to the gender aspect of non-discrimination is the issue of sexual harassment by police officers. Police officers are strictly prohibited from sexually harassing anyone.”

Module 8 - Gender equality, non-discrimination and police integrity

Recommended Readings for Facilitators

OHCHR. "International Human Rights Standards for Law Enforcement: A Pocket Book on Human Rights for the Police." Geneva: OHCHR, 1997.

Non-Discrimination in Law Enforcement

All human beings are born free and equal in dignity and rights.

Human rights derive from the inherent dignity of the human person.

Law enforcement officials shall at all times fulfil the duty imposed on them by law, by serving the community and by protecting all persons against illegal acts.

Law enforcement officials shall respect and protect human dignity and maintain and uphold the human rights of all persons.

All persons are equal before the law, and are entitled, without discrimination, to equal protection of the law.

In protecting and serving the community, police shall not unlawfully discriminate on the basis of race, gender, religion, language, colour, political opinion, national origin, property, birth, or other status.

It shall not be considered unlawfully discriminatory for the police to enforce certain special measures designed to address the special status and needs of women (including pregnant women and new mothers), juveniles, the sick, the elderly, and others requiring special treatment in accordance with international human rights standards.

The recruitment, hiring, assignment and promotions policies of police agencies shall be free from any form of unlawful discrimination.

3. The Question of Force and Physical Strength in policing

Lonsway, Kim, Margaret Moore, Penny Harrington, Eleanor Smeal, and Katherine Spillar. "Hiring & Retaining More Women: The Advantages to Law Enforcement Agencies." In Recruiting and Retaining Women: A self-Assessment Guide for Law Enforcement. Los Angeles: National Center for Women & Policing, 2003.

"The question of force lies at the heart of the traditional reluctance to hire women into policing. A number of studies document that both police officers and community members are concerned that women are not strong enough or aggressive enough for police work.

Yet physical strength has not been shown to predict either general police effectiveness or the ability to successfully handle dangerous situations.

In fact, there are no documented cases of negative outcomes due to the lack of strength or aggression exhibited by a female officer.

Rather, some have suggested that alternative characteristics might be preferable to physical strength, such as the ability to defuse potential violence and maintain composure in situations of conflict. . . .

Given that an estimated 80-90% of policing involves noncriminal or service functions, the emphasis in traditional policing on physical strength might actually serve as a liability to police departments seeking to successfully meet the demands of their community. In addition, it serves to 'weed out' women and men who could potentially implement an alternative model of policing that focuses less on physical force and more on interpersonal communication."

Module 8 - Gender equality, non-discrimination and police integrity

Recommended Readings for Facilitators

4. Policing and gender-based violence

Denham Tara. "Police Reform and Gender." Edited by Megan Bastick and Kristin Valasek. Geneva: DCAF, OSCE/ODIHR, UN-INSTRAW, 2008. <http://www.dcaf.ch/Publications/Police-Reform-and-Gender-Tool-2>

"It is the duty of police officers to prevent, reduce and respond to these forms of crime, including gender based violence (GBV) as it is one of the most common threats to security in all parts of the world. A World Health Organization study indicates that upwards of 69% of women reported having suffered physical aggression from a male partner at some time in their lives. . . .

Men and women are often reluctant to report these crimes to the police. Men who have been subjected to GBV are often ashamed and unwilling to discuss the incident for fear of being seen as weak, emasculated or gay. Women are often reluctant to talk to the police due to the social taboos and stigma associated with being a victim of GBV. Additional challenges exist in countries that do not have adequate laws in place on the eradication of GBV. Within the police there is a need to ensure that all officers – men and women – are adequately trained to respond to victims of GBV and possess the necessary skills to process and investigate crimes effectively."

Further readings:

- Bastick, Megan. "Integrating Gender into Internal Police Oversight." Geneva: DCAF, OSCE, OSCE/ODIHR, 2014. <http://www.dcaf.ch/Publications/Integrating-Gender-into-Internal-Police-Oversight>
- Bowling, Benjamin, Coretta Phillips, Alexandra Campbell, Maria Docking. "Policing and Human Rights: Eliminating Discrimination, Xenophobia, Intolerance and the Abuse of Power from Policework." Paper presented at the UNRISD Conference on Racism and Public Policy, Durban, South Africa, Sep. 2001. <http://www.unrisd.org/80256B3C005BC-CF9/search/B26DCF2059E2F3E5C1256EC300495016?OpenDocument>
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- European Union Agency for Fundamental Rights (FRA). "Fundamental Rights-Based Police Training: A Manual for Police Trainers." Luxembourg: Publications Office of the European Union, 2013. <http://fra.europa.eu/en/publication/2013/fundamental-rights-based-police-training-manual-police-trainers>
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- OHCHR. "International Human Rights Standards for Law Enforcement: A Pocket Book on Human Rights for the Police." Geneva: OHCHR, 1997. <http://www.ohchr.org>
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- UNODC. "Guidance Note for UNODC Staff: Gender Mainstreaming in the Work of UNODC." Vienna: United Nations, 2013. <http://www.unodc.org/production/misc/SpecialMessages.nsf/a3210ed79bcbf304c125794800355044/c0fa7664e232467ac1257b9c002fef58?OpenDocument>

Module 8 - Gender equality, non-discrimination and police integrity

Participant's Handbook

Gender equality:

Gender equality: equal right of women and men to opportunities and resources regardless of their gender or the sex with which they were born.

Sex: it refers to the biological, physiological and anatomical features people are born with. This means that the sex of males and females is the same throughout the world and throughout history.

Gender: it is learned and assigned. Girls and boys are taught and assigned different social characteristics, roles, behaviours and activities within a particular socio-cultural context on the basis of their sex. Gender roles, like society and culture, are changeable over time and vary within and across contexts. This means gender roles are not the same in all socio-cultural contexts, and within one socio-cultural context they will change and develop in relation to the changes experienced by that society.

Men and women should be treated equally by the police, but they also have different security risks and needs that must be acknowledged and addressed with equal attention. For instance, men in many countries are more likely to encounter violence outside the home, committed by strangers, in the form, for example, of robbery, assault, homicide, and gang violence. Women are more likely to encounter violence in their home and at the hands of their husband or partner. They are at higher risk of domestic violence and sexual assault, as well as other forms of violence that specifically target women because of their gender.

Security threats against men, women, boys and girls

Men	Women	Boys	Girls
<ul style="list-style-type: none">• Robbery (Australia: 75% of victims are male)• Assault• Homicide• Simple and aggravated assault• Gang violence• Forced to rape their own family members (particularly in conflict)• Rape and sexual torture• Human trafficking	<ul style="list-style-type: none">• Domestic violence• Sexual assault (USA: 92% of victims in workplace are women)• Dowry death• Sexual harassment• Rape• “Honour” killings• Stalking• Forced sterilization• Human trafficking	<ul style="list-style-type: none">• Gang violence• Child abuse and rape• Bullying• Kidnapping & abduction• Exposure & abandonment• Human trafficking• Buying/selling for prostitution	<ul style="list-style-type: none">• Infanticide• Child abuse and rape• Human trafficking• Kidnapping & abduction• Child marriage• Buying/selling for prostitution

Module 8 - Gender equality, non-discrimination and police integrity

Non-discrimination:

Non-discrimination: treating persons who are in a similar situation equally, unless there are objective and reasonable justifications for differential treatment.

One should not confuse discrimination with distinction. As a principle, everyone should be treated equally by the police. However, there are also groups of people who have different security risks or might be particularly vulnerable and deserve special protection, for instance people with illnesses or disabilities.

The police should always strive to uphold the principle of non-discrimination, especially in situations such as:

- Exercise of discretion (for instance intervening vs not intervening; severity of sanctions etc.)
- Prioritising complaints and cases
- Respectful communication
- Identity checks, body/vehicle searches
- Profiling
- Patrolling
- Use of force
- Hasty judgments (as victims or suspects for instance)

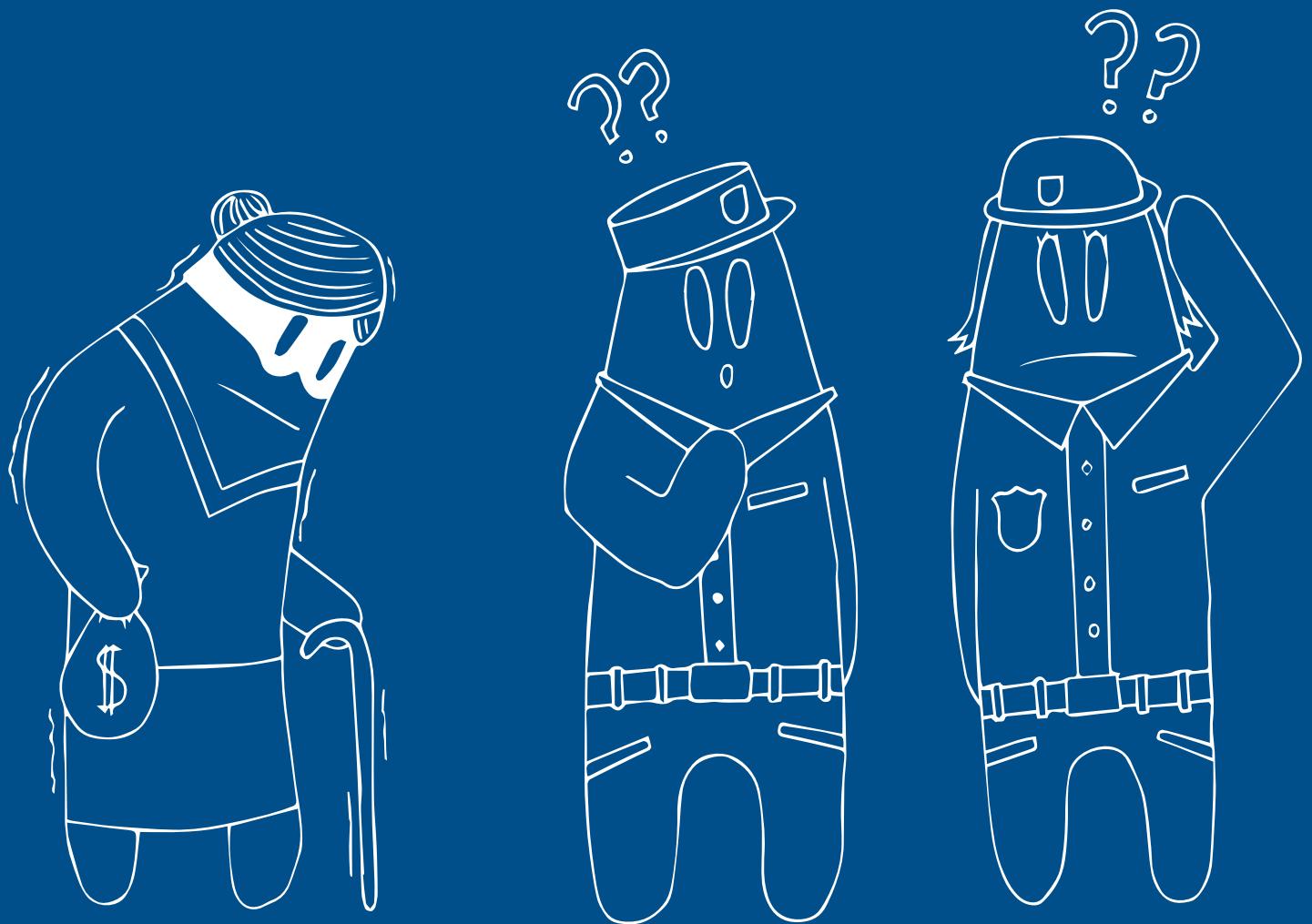
Importance of Gender Equality and Non-discrimination for Police Integrity:

For you as police officers:

- Positive impact on individual attitudes
- Ensuring respect for everyone
- Treating all citizens equally
- Creating a positive work environment

For the police organisation:

- **Gender equality and non-discrimination are fundamental to the rule of law.** All individuals, regardless of gender, sex, age, religion, class, sexual orientation, or disability, should be protected by and accountable to laws that are known publicly, enforced impartially and consistent with international and national human rights norms and standards.
- **Gender equality and non-discrimination are essential to effective and accountable provision of security services.** An effective police service employs the most competent candidates, regardless of their gender or social group. Operationally, gender equality and non-discrimination also allow the police to identify and meet the security needs of the entire population.
- **Gender equality and non-discrimination are prerequisites for public trust in the police and its legitimacy as a state institution.** Police legitimacy and public confidence in the police are both reinforced when all citizens, regardless of their gender, sex, age, religion, class, or other status, feel that they are represented in the police, that they are treated fairly, and that their security needs are addressed.



Module 9

Police ethical dilemmas

Module 9

Police ethical dilemmas



Module aim:

Practice ways to deal with and solve ethical dilemmas.



Learning objectives:

By the end of this session the participants will be able to:

1. Understand what an ethical dilemma is.
2. Practice the resolution of ethical dilemmas through role -play.
3. Analyse ethical dilemmas with the help of two resolution models.



Time: 80 minutes



Required material: Flip chart or board, blank sheets of paper, small box or basket, markers, pens

	Content		Method/action	Handouts/aids
1	Introduction	5'	Presentation	
2	What is an ethical dilemma?	10'	Brainstorming	Handout 1
3	Examples of ethical dilemmas or Types of ethical dilemmas	20'	Plenary activity	Facilitators' aid 1 Facilitators' aid 2
4	How to resolve an ethical dilemma?	40'	Presentation Plenary activity	
5	Conclusion	5'	Presentation	

Short description of the module:

This module first defines what constitutes an ethical dilemma. Then, examples of ethical dilemmas that the participants have faced will be collected. Finally, through role-play, participants will discuss the consequences of the choices available to them and ways to make better choices.

5'

1. Introduction

WHAT - Brief description of the content of the module

- ▶ Explain to the participants:

”

This module is about ethical dilemmas. Ethical dilemmas are difficult situations that all police officers have to face, when elements discussed in the previous modules come into play (rules, personal values etc.) and are competing. In such situations, choosing one course of action over another will always be difficult, because there is no ideal solution.

”

WHY - Relevance of the module

- ▶ Tell the participants:

”

This module will help you identify ethical dilemmas when they occur in your work, and provide you with some tools that can assist you in making the best possible decision. Most likely you will not be able to apply the suggested tools to the letter, nor are you required to do so, because each difficult situation is different and the time to decide how to act might be limited. In the end, it is your personal integrity that will determine your decision.

”

WHAT FOR - Objectives of the module

- ▶ Present the objectives of the module.

HOW - Sequence of the module

- ▶ Explain the sequence of the module.

Personal notes

10'

2. What is an ethical dilemma

- ▶ Facilitate introductory discussion:



- What is an ethical dilemma in your understanding?
- What elements should be present for a situation to be considered an ethical dilemma?

- ▶ Encourage the participants to give answers.

- ▶ Then distribute **Handout 1** with definitions and have the participants read it.

- ▶ Ask the participants if they have comments on the definitions.

- ▶ Conduct a brainstorming with the whole group on the following question:



- What elements can be conflicting in an ethical dilemma?

- ▶ Encourage the participants to give answers.

- ▶ Complement and/or summarise with the following elements of response:

Two things or more must be conflicting. They can be:

- Different rules or laws
- Different rules and values
- Personal or professional values, for instance:
 - Truth vs. loyalty
 - Justice vs. mercy
- Interests of different people
- Individual interests and interests of society
- Short-term vs. long-term impact
- Means vs. end ("The ends justify the means")
- Different roles of the police, for instance:
 - Prevention vs. repression
 - Surveillance and law enforcement vs. assistance

Personal notes

20'

3. Examples of ethical dilemmas or types of ethical dilemmas



- ▶ Distribute blank sheets of paper to all participants and make sure they all have pens.
- ▶ Ask each of them to write one real or hypothetical case of police ethical dilemma and fold the sheet of paper into 4.
- ▶ Collect cases in a basket/box.
- ▶ Read the cases for yourself.
- ▶ Choose 5 to 10 cases corresponding to different true ethical dilemmas (as per the definition in the previous exercise). If participants do not come up with interesting cases, complement them with hypothetical cases from **Facilitators' aid 1**.
- ▶ Read the chosen cases out loud.
- ▶ Generate plenary discussion by asking for each case:



- What is the ethical dilemma in this case?
- What is conflicting?



Notes: Instead of this plenary discussion, you can opt for the activity presented in **Facilitators' aid 2** to reflect on and classify the ethical dilemmas. All previous steps to collect examples are the same.

Personal notes

40'

4. How to resolve an ethical dilemma?



- ▶ Introduce the activity:

“

In this activity, you will enact some of the ethical dilemmas in a role-play and choose a course of action. Then, we will present you two models that can help solve ethical dilemmas, and you will use them to analyse the cases, and reflect on whether you should maybe have chosen another course of action.

”



- ▶ From the previous activity, select 2-3 cases that represent varied situations of ethical dilemmas and that you find the most interesting.
- ▶ Read them again (or summarise them) to the participants
- ▶ Divide the participants into as many groups as there are cases and distribute one case to each group.
- ▶ Instruct them to discuss among themselves to choose the most appropriate course of action according to them and to prepare a short role-play of the situation including the reaction/decision.
- ▶ Ask each group to play their situation in front of the others.



Notes: We really recommend using the role-play method in this activity. However, if you do not have time or think role-play will not work with your audience, you can skip the 3 previous steps and slightly adjust the next steps.

- ▶ Ask the participants:

?

- What helped you resolve the dilemma and make a decision?

- ▶ Encourage them to think and give you answers.
- ▶ Then distribute **Handout 2** and present the two models.
- ▶ Explain to the participants:

“

These are just two models among many. You will probably not have time to ask yourself all these questions when resolving an ethical dilemma, but they contain some useful tips. Let us test these models with the dilemmas that you just played.

”

Module 9 - Police ethical dilemmas

Testing the more intuitive model: Bell – Book – Candle

- For the first dilemma, ask the entire group the following questions:



- What does your intuition tell you to do?
- Is this action consistent with the law/rules/regulations?
- How would you feel about telling this action to your mother or to the newspapers?
- Are the “Bell-tip”, the “Book-tip” and the “Candle-tip” telling you to do the same thing?
- What alternative action would you choose based on this model?



The rational model: ASCT.

Alternative 1		Alternative 2		Alternative 3	
+	-	+	-	+	-

- Facilitate discussion with the participants with the following questions:



- What is conflicting in this case? Which values, rules or principles?
- What are potential courses of action or alternatives? What can you do or not do?
- Who is affected by your decision (yourself, colleague, friend, citizen, superior, police organisation, society at large...)?
- What are the consequences (positive and negative) of each alternative for all stakeholders?

- Based on the results of the discussion, list alternatives in the table you drew on the flip chart or board.
► List the consequences for all stakeholders in the table.
► Debrief with the entire group:



- Based on this analysis, which seem(s) to be the best choice(s)?
- Is it the same choice as the one derived from the Bell-Book-Candle model?
- Is it the same choice as the one the group chose in the role-play?

If the group comes to the conclusion that the best choice is different than what was chosen in the role-play, and if time allows, you can ask them to re-play the dilemma.

- Repeat the procedure for each of the selected cases.

5'



5. Conclusion

- ▶ Summarise key conclusions of discussions and key messages.
 - ▶ Ask the participants:



- What did you learn in this module?
 - How will you apply it in practice?

Personal notes

Module 9 - Police ethical dilemmas

Handout 1 - Definitions of an ethical dilemma

An ethical dilemma is a problem that refers to alternative and contradicting choices. A choice of actions poses an ethical dilemma when the considered action has both positive and negative consequences for oneself, others, and the environment.

Institut Suisse de Police. "Droits de l'Homme et Ethique Professionnelle: Manuel de référence pour l'examen professionnel fédéral de Policer/Policière." Neuchâtel: Institut Suisse de Police, 2009.

True ethical dilemmas are situations that are no-win in nature, where you are damned if you do and damned if you don't.

Raines, Julie. Ethics in Policing: Misconduct and Integrity. Sudbury: Jones and Bartlett, 2011.

A genuine moral dilemma is a situation from which one cannot emerge innocent no matter what one does - employ a dirty means, employ an insufficiently dirty means, or walk away.

Klockars, Carl B. "The Dirty Harry Problem." Annals of the American Academy of Political and Social Science 452, (1980): 33-47.

There is an ethical dilemma when officers:

- **Do not know the right course of action**
- **Have difficulty doing what they consider to be right**
- **Find the wrong choice very tempting**

Pollock, Joycelyn M, and Ronald F. Becker. "Ethics Training: Using Officers' Dilemmas." FBI Law Enforcement Bulletin 65, no. 11 (1996): 20-27.

Module 9 - Police ethical dilemmas

Handout 2 - Models for resolving ethical dilemmas

BELL, BOOK AND CANDLE

- **BELL** - Does this action sound right? This question gauges first reaction or intuition. Does your initial impression sound right or wrong; wise or unwise? Some people connect this question to their «little voice inside.» What is that voice telling you?
- **BOOK** - Is this action consistent with official laws, rules and policies? Is it «by the book?» Normally the rules of the organisation or profession back up or enforce what everyone already knows is right. And even if you are considering disobeying an unjust policy or law, it still might be a good idea to remember that you are intentionally breaking a formal rule. There are usually consequences to doing that.
- **CANDLE** - How will this action look to others when exposed to the light of day? This question is about perception. How will this action look to others (the organisation, the public, your mother or brother, journalists)? Sometimes actions that are not clearly wrong will still be perceived that way by others.

THE A.S.C.T. MODEL

- Consider your **ALTERNATIVES**. What are the options in the situation you are facing? What could you do? Come up with three or more options. Maybe the third or fourth alternative ends up being the wisest.
- List the **STAKEHOLDERS**. Who are the people who will be affected by your decision and your actions? You may note that different alternatives can sometimes have different stakeholders.
- Consider the **CONSEQUENCES** of each alternative. What are the likely consequences of each alternative? You have to consider the consequences for all of the stakeholders, not just for yourself. What good or bad would result from each option? Sometimes thinking through these can be an important part of making a wise decision.
- How will you feel about **TELLING** this story? Would justifying the selected action be a comfortable or uncomfortable experience? What about explaining it to internal control, to journalists, or to your family?

Adapted from: St. Petersburg College Florida Regional Community Policing Institute. "Ethical Issues and Decision in Law Enforcement: Instructor Manual." St Petersburg: St Petersburg College, 2005.

Module 9 - Police ethical dilemmas

Facilitators' aid 1 - Hypothetical cases of ethical dilemmas

1. A police officer has grounds for arresting a man for a relatively minor theft. But the officer also knows that the man has a wife and newborn child and lives in a shanty town, and that his family would have a very difficult time getting by if the husband were in jail.¹
2. Assume that the police have multiple leads that implicate Smith (replace by common masculine name in your country) as a pedophile, but they have no grounds for obtaining a search warrant for Smith's car or home, where evidence might be present. An officer feels frustrated and, early one morning, takes a baton and breaks a rear taillight on Smith's car. The next day the officer stops Smith for operating his vehicle with a broken taillight, impounds and inventories Smith's vehicle, and finds evidence leading to his conviction on multiple counts of child molestation and possession of pornography. Jones receives accolades for the apprehension. Was the officer's act legal regarding the taillight? Did the actions "serve the greater public good?"²
3. A robbery was committed in a jewelry store and two police officers provide security at the crime scene until the investigation team arrives. After a few days, a police officer notices that his fellow officer has a bracelet from that jewelry store. The fellow officer explains that he bought it from an unknown commercial traveler.³
4. On a weeknight, your colleague John (replace by common masculine name in your country) and yourself are brought in as part of a patrol to control an open edge of a town parking lot. It is raining and it is quite dark. Arriving on the scene, you see that the parking lot is deserted. Looking a little closer, you notice that one car is parked at the far end of the parking lot. You approach the vehicle and find that the windows are covered with fog. Your colleague John lets you know that he will lead the intervention and take the driver's side, while you will have the passenger side. You see soon enough that two people are inside the cabin and on your side. You realise that this is a man and a woman who engaged in mutual pleasures. You realise that the woman sitting on the passenger side is no one else than Mary (replace by common feminine first name in your country), the wife of Jack (replace by second common masculine first name in your country), your best friend and co-worker who will start work at 04:00. The intervention completed, you walk away. Luckily, Mary has not seen or recognised you. Although in shock, you do not tell your discovery to your colleague. During the rest of the patrol, you can only think about your last invitation at Mary and Jack's less than a month ago, where Jack talked to you about his desire to have a child with Mary. Suddenly, you feel less comfortable. How do you react when you meet Jack at 04:00 during the shift change?⁴
5. Your brother-in-law wants to sublet his apartment and has received numerous applications. He has trouble deciding, and would like to be sure that the future tenant will be reliable and financially secure. He comes to you with a list of names and asks you if you can check the applicants for criminal records. In order to not embarrass you or require too many details, he suggests that you just cross out the names that he should not consider. How do you react?⁵
6. A newly appointed police officer on his first patrol is told by his older and more experienced fellow officer that the restaurant on the corner likes to have them around, so the restaurant owner offers them free meals. The older police officer freely orders steak, potatoes, and all the trimmings. What is the duty of the newly assigned police officer in this case? Should he continue to do what his fellow officers are doing or should he reject this type of favors? What if the owner refused to take money from the officer?⁶
7. There have been problems involving rival gang members in one part of the city. An officer, working with both sides to alleviate the tension, strives to develop programs, rapport and gang members' respect. Eventually the problem calms down. Soon the officer begins observing cars with too many passengers of young men - many of whom are underage - from both gangs cruising around in their vehicles, blatantly drinking, and being loud and disorderly. Upon confronting them, the now comparatively tranquil gang members state that the officer should overlook their «harmless» cruising and drinking activities because they are cooperating with him and are no longer shooting at each other.⁷
8. I am an off duty police officer and I am invited to a party at an old friend's house. It is Friday night, I am off duty, and I have no plans, so I head to the party. Upon arrival, there is quite a gathering in the back yard, so I visit with people and am having a good time. I have had a couple of beers, and I head inside to the restroom when I notice several people in the house around a table with cocaine lines adorning the tabletop. I have never seen these people before, and my friend has been in the back yard the whole time I have been here. I head to the restroom, and ponder what to do.⁸

1. Kenneth J. Peak, B. Grant Sitt, and Ronald W. Glensor, "Ethical Considerations in Community Policing and Problem Solving," *Police Quarterly* 1, no. 3 (1998): 23. http://www.sagepub.com/banks/articles/02/Peak_CH02.pdf

2. *Ibid.*

3. *Ibid.*, p.81

4. Institut Suisse de Police. "Droits de l'Homme et Ethique Professionnelle: Manuel de référence pour l'examen professionnel fédéral de Policer /Policière." Neuchâtel: Institut Suisse de Police, 2009.

5. Adapted from: *Ibid.*

6. 'Confronting Unjust Authority Case Study: An Ethical Dilemma' Researchomatic 6 , 2012. Available at: <http://www.researchomatic.com/Confronting-Unjust-Authority-Case-Study-An-Ethical-Dilemma-137310.html>

7. Peak, "Ethical Considerations," 29

8. Elizabeth Hall, "Ethical Challenges Faced By Law Enforcement Regularly," Criminology & Justice, <http://criminologyjust.blogspot.ch/2013/02/ethical-challenges-faced-by-law.html#.VSeoxEqSwgs>

Module 9 - Police ethical dilemmas

9. A rookie police officer smelled alcohol on his partner's breath as he entered the squad car at the beginning of the shift. The senior officer admitted he drank one glass of wine with dinner but insisted that he could drive safely. To avoid a confrontation, the rookie did not protest. Shortly thereafter, the squad car driven by the senior officer collided with another vehicle. The driver of the other vehicle died 3 weeks later from the severe injuries sustained in the accident. The traffic officer investigating the accident smelled alcohol on the senior officer's breath but did not report this fact nor did he ask the senior officer to take a breath test. A subsequent lawsuit alleged that the senior officer caused the accident because he drove under the influence of alcohol. During the internal affairs inquiry, the rookie faced a high-stakes ethical dilemma, tell the truth or lie to protect the senior officer.⁹
10. A gas station attendant calls the police because of a disturbance at a gas station. A neighbourhood youth has been begging patrons for money and washing their windows without being asked. The youth lives with his grandmother, and they barely make ends meet. The attendant wants the child arrested because he says the youth harasses the customers.

In such situations, the offender often is driven by dire circumstances; in this case, the youth's grandmother is extremely poor, and he gives the money he earns to her. This puts the officer in a struggle between reacting with compassion and enforcing the law.¹⁰

11. An officer stops a woman with numerous outstanding traffic warrants. The woman has her infant child with her. Should the officer take the baby to juvenile and the woman to jail, make arrangements for someone else to care for the baby, or just let the offender go and tell her to take care of the warrants on her own? She has no money and gives the officer no trouble. This situation does not involve a demanding complainant; yet, the officer believes that strict legality might not serve the ends of justice, or at least feels torn about enforcing the law. Many such dilemmas involve women and/or families with children. Some officers are very clear about the criteria they use to guide their discretion; others are less sure about the ethical role of the police.¹¹
12. An officer responds to a call from the security office of a business that is holding a shoplifter. The 75-year-old woman had been caught attempting to slip some needed medications into her handbag. The store insists on filing charges against the woman.

Is there an applicable law? Yes. The woman obviously broke a law. Is there an applicable departmental policy? Obviously, the departmental policy would be to enforce the law, especially if the complainant wants to press charges. Does this resolve the dilemma? For some officers it does. Some officers believe that the duty of the police is to enforce the law, not to mediate it. Others, however, would respond by saying that an ethical issue exists aside from duty.¹²

13. An officer is called to the scene of a house fire. The fire has spread through the entire house, making it impossible to enter safely. The officer can hear the family calling for help from the upstairs window. He feels compelled to help them, but knows that it is against department policy to enter such a dangerous situation.¹³
14. You are one of a group of thirty officers from several different departments [tasked] to work in uniform [to maintain security] at an indoor rock concert. . . . The group performing are heavy metal and punk rock musicians. The crowd of 7,000 is composed mostly of teenagers. . . . The crowd is noisy but peaceable. The loudest element has been a group of fifteen to twenty leather-clad "Devil's Advocates", members of a motorcycle gang who have congregated on the auditorium floor a few rows from center stage. An officer from another town approaches you and tells you that he has observed a number of [bikers] apparently using cocaine and selling it to youthful members of the audience. He wants to arrest the [bikers] who are dealing, and he asks you to accompany him. Your previous experience with the Advocates tells you they often carry knives and even guns, and that it is a matter of honor for them to fight any police officer who tries to arrest them. You have also had experiences in which concert crowds have become violent as a result of police attempts to make drug or alcohol arrests. Your fellow officer tells you that, whether you accompany him or not, he is going to make an arrest after the next band number begins.¹⁴

9. John R. Schafer, "Making Ethical Decisions: A Practical Model," *Intentional Spirituality: Benefits and Resources*, <http://www.stevedavis.org/sol2art16print.html>

10. Joycelyn M. Pollock and Ronald F. Becker, "Ethics Training: Using Officers' Dilemmas," *FBI Law Enforcement Bulletin* 65, no. 11 (1996): 20-27. <http://www2.fbi.gov/publications/leb/1996/nov964.txt>

11. *Ibid.*

12. *Ibid.*

13. Howard S. Cohen and Michael Feldberg, "Rock Concert," in *Power and Restraint: The Moral Dimension of Police Work*, Westport: Praeger Publishers, 1991: 71-88.

14. *Ibid.*

Module 9 - Police ethical dilemmas

Facilitators' aid 2 - Optional activity - 3 Types of ethical dilemmas

- Explain to the participants the types/categories of ethical dilemmas below:
 - Discretion
 - Duty (is it my duty or not?)
 - Honesty
 - Loyalty
- Write the 4 words on the flip chart or board.
- Read out loud the selected cases.
- For each case ask the participants:
 - Which category does this case belong in?
 - Can you think of other categories?

Discretion: In situations involving discretion, either of the two possible actions may be defined as right. The specific purview of what is known as police discretion – whether to arrest, whether to ticket, what to do when faced with an altercation – generally is not identified in ethical terms. In some of these discretionary situations, however, officers reveal in class that they either have felt uncomfortable about what the law or departmental regulations required them to do or report that they were sincerely confused as to the appropriate course of action they should take.

Duty: 2 types:

1. The first raises questions about a police officer's obligation in a certain situation. For example, with a domestic disturbance call, when police officers determine that no crime has been committed, what is their duty? Is there an obligation to try to resolve a volatile situation before it erupts into a crime? Likewise, some police officers believe they have a responsibility to help poor and homeless people find shelter; others do not feel bound by such an obligation. This type of discussion inevitably brings out differences of opinion fundamental to how officers see their role in the community. It is also an ethical issue.
2. The other type of duty-related dilemma is much more straightforward. The officer knows that the job requires a certain action but considers the action either inconvenient or a waste of time, which makes the officer reluctant to perform it.

Honesty: Under the general heading of honesty, officers submit dilemmas involving self-enrichment, personal misdeeds, lying, and various issues relating to arrest situations.

Loyalty: In situations involving loyalty, officers must decide what to do when faced with wrongdoings by other officers. Officers' dilemmas in this area range from witnessing relatively minor wrongdoings (e.g., misuses of overtime) to very serious breaches of public trust (e.g., physical abuse of a suspect or the commission of a crime).

Recommended Readings for Facilitators

1. Understanding ethical dilemmas

Institut Suisse de Police. "Droits de l'Homme et Ethique Professionnelle: Manuel de référence pour l'examen professionnel fédéral de Policier/Policière." Neuchâtel: Institut Suisse de Police, 2009: 98-101.

"Making decisions is a difficult act, especially when references and established codes are no longer self-evident and/or conflict between another or with your values."

Based on high ideals, the policing profession is difficult. Because they must often make decisions in an emergency, and sometimes bluntly, the police, who, we must not forget, are not perfect, are subject to various pressures (social, political, media, reporting, etc.), which can be a source of disappointment, discouragement and sometimes burnout. When the rule is missing or, conversely, when there are several rules that coexist and contradict each other or when the rule is inaccurate, it is not uncommon that the police have to solve dilemmas by choose between two or more alternatives, each of them having advantages and disadvantages.

Module 9 - Police ethical dilemmas

Definition: An ethical dilemma is a problem that refers to alternative and contradicting choices. A choice of actions poses an ethical dilemma when the considered action has both positive and negative consequences for oneself, others, and the environment.

Dimensions of an ethical dilemma:

Most ethical dilemmas are faced by people on a personal mode even if many of these dilemmas nonetheless have significant professional, institutional and social dimensions . . . In most cases, the problem has several dimensions and it is not the personal values that are at the heart of the problem. There are also those of the institution, those of society, when not also those of another person, such as a colleague, the other party or a third person involved. There are always so many intertwining dimensions influencing behavior and it is in this that any ethical issues must be addressed in connection therewith.

Officers working in the field are constantly faced with the need to choose, to make decisions.

- Do I need to arrest this person or not?
- Should I impose a fine or not?
- Do I have to use coercion or not?
- . . .

Laws, regulations, directives and other internal practices give a number of directions and channel reflection. They do not, however, respond to all questions. The police are sometimes helpless and do not know what to do in order to do well. Deciding is choosing an action in a given context."

2. Importance of ethics training for police

Den Boer, Monica and Changwon Pyo. Good Policing: Instruments, models and practices. Edited by Sol Iglesias and Ulrich Klingshirn. Singapore: Asia-Europe Foundation & Hans Seidel Foundation Indonesia, 2011: 61.

"Officers live and work in a constantly changing and dynamically social context in which they are exposed to a myriad of ethical conflicts. When either unprepared or unaware, officers are more likely to 'go with the flow' than they would be if they were adequately prepared to face potentially ethical risks. Every day, officers practice mental preparation as it relates to tactical situations. Officers who are mentally prepared to face a lethal encounter are more likely to be successful than other officers who are tactically proficient but mentally unprepared. Just like lethal encounters, ethical dilemmas occur at the most inopportune times, frequently without warning and with little time to stop and think about the situation. When inadequately prepared, even the most honest, above reproach officers can make inappropriate split-second ethical decisions . . . decisions that can result in life-changing consequences. If officers are going to survive ethical dilemmas they need to be as mentally prepared as they would be for tactical encounters."

Further readings:

- Cohen, Howard S. and Michael Feldberg. "Rock Concert." In *Power and Restraint: The Moral Dimension of Police Work*, 71-88. Westport: Praeger Publishers, 1991.
- Institut Suisse de Police. "Droits de l'Homme et Ethique Professionnelle: Manuel de référence pour l'examen professionnel fédéral de Policier/Policière." Neuchâtel: Institut Suisse de Police, 2009. <http://eshop.institut-police.ch/de/shop/verlag/grundausbildung/19/droits-de-lhomme-et-ethique-professionnelle>
- Kidder, Rushworth M. *How Good People Make Tough Choices*. New York: Harper, 1995. http://www.udel.edu/richard/cisc355/Readings/excerpt_tc_first_chapter1.pdf
- Klockars, Carl B. "The Dirty Harry Problem." *Annals of the American Academy of Political and Social Science* 452, (1980): 33-47. http://www.kyoolee.net/Dirty_Harry_Problem__the_-_Klockars.pdf
- Pollock, Joycelyn M, and Ronald F. Becker. "Ethics Training: Using Officers' Dilemmas." *FBI Law Enforcement Bulletin* 65, no. 11 (1996): 20-27. <http://www2.fbi.gov/publications/leb/1996/nov964.txt>

Module 9 - Police ethical dilemmas

Participant's Handbook

Ethical dilemmas are difficult situations that all police officers have to face, when different elements come into play (rules, personal values etc.) and are competing. In such situations, choosing one course of action over another will always be difficult, because there is no ideal solution. In the end, it is your personal integrity that will determine your decision.

The conflicting elements can be:

- Different rules or laws
- Different rules and values
- Different personal or professional values
- Interests of different persons
- Individual Interests and interests of society
- Short-term vs long-term impact
- Means vs ends
- Different roles of the police

BELL, BOOK AND CANDLE

- **BELL** - Does this action sound right? This question gauges first reaction or intuition. Does your initial impression sound right or wrong; wise or unwise? Some people connect this question to their "little voice inside" What is that voice telling you?
- **BOOK** - Is this action consistent with official laws, rules and policies? Is it "by the book"? Normally the rules of the organisation or profession back up or enforce what everyone already knows is right. And even if you are considering disobeying an unjust policy or law, it still might be a good idea to remember that you are intentionally breaking a formal rule. There are usually consequences to doing that.
- **CANDLE** - How will this action look to others when exposed to the light of day? This question is about perception. How will this action look to others (the organisation, the public, your mother or brother, journalists)? Sometimes actions that are not clearly wrong will still be perceived that way by others.

THE A.S.C.T. MODEL

- Consider your **ALTERNATIVES**. - What are the options in the situation you are facing? What could you do? Come up with three or more options. Maybe the third or fourth alternative ends up being the wisest.
- List the **STAKEHOLDERS**. - Who are the people who will be affected by your decision and your actions? You may note that different alternatives can sometimes have different stakeholders.
- Consider the **CONSEQUENCES** of each alternative. What are the likely consequences of each alternative? You have to consider the consequences for all of the stakeholders, not just for yourself. What good or bad would result from each option? Sometimes thinking through these can be an important part of making a wise decision.
- How will you feel about **TELLING** this story? Would justifying the selected action be a comfortable or uncomfortable experience? What about explaining it to internal control, to journalists, or to your family?

Annex to modules: PIBP's understanding of Police Integrity

The Police Integrity Building Programme (PIBP) favours “integrity” as the principle of consistently behaving in accordance with sound ethical values. In police ethics, some key values include public service, impartiality, fairness, equality, justice, and honesty. Integrity is an overarching principle for both individual police officers and the police organisation. The police organisation should clearly define its core values and ensure they are promoted throughout the organisation and reflected in the behaviour of all police officials.

This definition of integrity makes clear that integrity is much broader than the absence of corruption, as it is sometimes mistakenly understood. By promoting integrity, PIBP aims at combating all types of inappropriate police behaviour, from serious illegal activities to unethical decisions, from brutality to lack of respect, from malicious to negligent or untimely performance of duty. You may refer to Table 1 below for examples of police misconduct.

Table 1. Example of police misconduct classification

	Police crime	Police disciplinary violations	Police unethical behaviour
Off duty	<ul style="list-style-type: none"> • ‘Kickbacks’: Receipt of goods, services or money for referring business to particular individuals or companies • Opportunistic theft: Stealing from arrestees (‘rolling’), from traffic accident victims, crime victims and the bodies or property of dead citizens • Acceptance of a bribe for not following through a criminal violation: not making an arrest, filing a complaint or impounding property • Planting, falsifying of, or adding to evidence (particularly but not exclusively in drugs cases) • Unjustified serious use of force against citizens (killing, brutalising, torturing) • Sexual harassment of citizens • Unjustified suppression of fundamental rights: freedom of speech, of movement, of association etc. • Lying to court • Blind obedience to illegal orders • Collusion with criminals • Corruption in the procurement process 	<ul style="list-style-type: none"> • Corruption of authority /gratuities: Receipt of material gain by virtue of their position without violating the law per se (e.g. free drinks, meals, services) • Undermining of criminal investigations or proceedings, or the ‘losing’ of traffic tickets • Improper use of physical or verbal violence towards citizens and suspects (rough handling, verbal abuse, humiliation, intimidation) • Abuse and manipulation of information (unauthorised and improper use of police files; leaking confidential information) • Discrimination and unequal treatment of citizens on ethnic, religion, sex, political or other grounds • Waste and abuse of organisational resources • Neglect of victims or detainees • Nepotism in performance of duties: favouring friends, relatives, members of same political or other types of group etc. 	<ul style="list-style-type: none"> • Inaction and laziness • Poor work quality • Giving incorrect statements to citizens • Closing eyes on or failure to point out to colleagues or superiors’ misconduct or immoral actions
	<ul style="list-style-type: none"> • Internal payoffs - Prerogatives available to police officers (holidays, shift allocations, promotion) are bought, bartered and sold • Sexual harassment of colleagues 	<ul style="list-style-type: none"> • Nepotism in promotion, assignment, holidays, shift allocations etc. • Humiliation of colleagues • Unjustified absence at work • Abuse of sick leave 	<ul style="list-style-type: none"> • Favoritism • Pretending not to see workplace problems • Lying to colleagues • Abusive language with colleagues
	<ul style="list-style-type: none"> • Direct criminal activities - A police officer commits a crime against person or property for personal gain. • Domestic violence • Drunken driving • Use of confidential information for private purposes 	<ul style="list-style-type: none"> • Conflict of interest through jobs and activities, outside the organisation (e.g. ‘moonlighting’) • Use of police status in private disputes • Private relationships with criminals 	<ul style="list-style-type: none"> • Abusive language with personal relations • Excessive consumption of alcohol

Annex to modules: PIBP's understanding of Police Integrity

Democratic policing principles

PIBP considers integrity to be one of the key principles of democratic policing. Other essential principles are briefly described below:

Rule of law – Everyone, including the police, must decide and act on the basis of, and in accordance with, existing laws, regulations and the human rights.

Public service – The mission and functions of the police aim to promote the benefit of the public. In particular, the police must strive to respond to the security needs of all groups of citizens.

Accountability and transparency – Accountability means that police officers and organisations can be held accountable for their actions and decisions by internal and external bodies. Transparency signifies that policies, laws, budgets, and information on decisions and activities of the police are easily accessible to the public. Transparency is essential for accountability, as it enables citizens to scrutinise the way the police exercise their power.

Representativeness – The police workforce reflects the social composition of the society where it operates.

Effectiveness and efficiency – The police make good use of its resources and is able to fulfil its functions, which are to protect the rights of citizens, to prevent, detect and repress crime and security threats, to maintain public order, and to manage emergency situations.

Democratic Policing Principles

Upholding the Rule of Law

Public Service

Integrity (Ethics, Values and Human Rights)

Accountability and Transparency

Representativeness

Efficiency and effectiveness

The importance of police integrity

Police integrity entails important benefits for society, which are outlined below:

Respect for human rights – The police are entrusted with special powers such as arrest, detention, coercion and use of force. If not used with the highest levels of restraint and integrity, these powers might easily lead to human rights violations.

Legitimacy – In a democratic society, it is crucial that state institutions enjoy legitimacy, i.e. that people perceive public authorities as representatives of public will. The legitimacy of the police is strongly enhanced if the public recognises that the police powers are used to serve the public with integrity, impartiality, and fairness.

Effective service delivery – Modern societies are increasingly relying on police-public cooperation for the successful performance of the police mandate. Police integrity is essential to create trust between the public and the police, and trust enhances citizens' inclination to cooperate with the police and provide useful information in support of crime prevention and repression.

Feeling of safety – When people believe that the police are committed to serve and protect each of them equally, they

Annex to modules: PIBP's understanding of Police Integrity

tend to feel safer in their everyday lives.

Role modelling – The police is the State agency responsible for ensuring the respect of the law and maintaining the moral order in the society. By displaying integrity in their own work, police officers act as role models for other citizens and promote respect for the law and ethics.

Confidences in State institutions – Police officers are the most visible representatives of the State. Their image reflects on the image of the state and the confidence in them influences the public's confidence in the other State institutions. This trust leads to a secure environment that is conducive with socio/economic prosperity.

Challenges to police integrity

Integrity is first and foremost an individual issue. New recruits join the police with their own sense of morals and their own values that have developed mostly during their upbringing. However, there are several factors, in the society and the police work itself, that constitute specific challenges or risk to the integrity of the police officers and which are presented below. The police organisation must pay special attention to choosing recruits with particularly high levels of integrity that are able to resist those risks. A police reform process should also try to minimise the following negative pressures:

Discretion – The police are enforcers of the law, but they can neither enforce all laws, nor can the law precisely dictate their conduct in all situations. This is why we say that the police have high levels of discretionary powers. They constantly have to make choices within the boundaries of the law among possible courses of action or inaction, for example on whether or not to question, search, fine, arrest, prosecute, draw and use their weapon etc. Integrity is crucial to guide police officers to make the right decisions.

Ethical dilemmas – Although ethical dilemmas might arise in any profession and in private life, they are particularly common in policing. They are situations in which police officers have the discretion to make a choice, but these are particularly difficult choices in which no solution is satisfactory. Different rules and values might be conflicting, and the considered actions have positive and negative consequences for the officer, other individuals, and society. Strong ethics are required to make the least harmful choice.

Criminal and corrupt environments – Police officers constantly interact with corrupt persons who have an interest in compromising and corrupting them. They also operate in criminal environments in which negative temptations, such as drugs and large amounts of money, are plentiful.

Special powers – The police must sometimes deploy harmful methods, such as coercion, deception, and deprivation of liberty, that are normally regarded as immoral. In certain circumstances of police work, they are necessary and considered morally justifiable, when dealing with dangerous criminals for example. However, they can have a "corruptive" influence on police officers who might use these methods in other situations when they are not morally justified, for example when dealing with innocent citizens.

Pressure for results – There might be high pressure on police officers to meet targets, such as number of arrests, which can lead them to disregard the morality of the mean to get to the desired end.

Organisational culture – The culture of the police organisation has a great influence in reinforcing or weakening police officers' integrity. As police work is stressful and sometimes dangerous, police group consciousness and professional culture tend to be strong. Managers and peers can either value and nurture positive attitudes such as professionalism and respect, or perpetuate a negative culture of widespread corruption, "code of silence" (the unwritten rule to never report or act on a colleague's misconduct), traditionally considered masculine attitudes such as aggressiveness and toughness.

Lack of control – Incentives for misconduct are lower when the chances of having to be held accountable for it are higher. Yet close supervision of police officers is often not possible in particular when on patrol or during interventions. Peer control would often be the only available control mechanism but it is very weak in most police services across the world.

Working conditions – Although often overemphasised as the single most important factor influencing police integrity, working conditions, including salaries, do have their importance in encouraging or undermining integrity. Inappropriate reward (in monetary and non-monetary forms) for dedication to a risky and demanding job may lead to frustration, cynicism, and disengagement. It might encourage reasoning such as "I will do just as much as what I am paid for", "Why should I give my best for an organisation that doesn't care about me?", or "I have to find other ways to receive what I deserve".

Societal values – The culture and values of the society have a great impact on police integrity. Police officers and decision-makers are members of the community and their values are for the most part a reflection of those of society. Citizens' tolerance, and even sometimes expectations, of certain inappropriate behaviour, such as bribery, might encourage police misconduct.

Annex to modules: PIBP's understanding of Police Integrity

Rule of law – Opportunities for police misconduct are minimised if the law is consistently respected and implemented in the country where the police operate, if everyone is held accountable to it, including the government, and if the judicial system ensures the fair and efficient application of the law.

External stakeholders and their roles in fostering police integrity

As discussed above, accountability to society is a key principle of democratic policing. Moreover, as already mentioned, the more checks and balances that exist, the less opportunities there are for police misconduct. There is a large range of external stakeholders that have a role to play in fostering integrity. Building an effective integrity system includes ensuring that these actors have the capacity to effectively perform these roles and do so with the aim of enhancing police integrity.

Parliament – The parliament has the power to adopt legislation related to integrity, for instance laws that criminalise certain behaviours, promote transparency and accountability, regulate the mandate and powers of the police, or establish control and oversight institutions. The parliament also has an oversight role that can focus on different aspects of police integrity such as budget, appointments and promotions, strategies, or inquiries in cases of scandals for example.

Specialised oversight bodies – In many countries, there are also specialised external police oversight bodies whose specific mandate is to scrutinise police work and conduct. Their powers and structures vary from country to country. Most of them receive complaints from citizens that they either investigate or transmit to the relevant police units. Some have repressive powers and others do not.

Civil society and academia – Civil society organisations and academia have a crucial role to play in analysing police integrity problems, informing the public about them, initiating public debates, suggesting improvements and solutions, and putting pressure on the executive, parliament, or judiciary to take certain actions.

Media – The role of the media is partly similar to the role of civil society organisations. It can inform the public about integrity problems, conduct some forms of investigations and exercise pressure on institutions and individuals. It is however also specific. In particular, the media has a great responsibility in shaping the image and reputation of the police in general and of certain police officers in particular. It often contributes positively to integrity. Naming and shaming police officers responsible for inappropriate behaviour can for instance deter other officers from engaging in misconduct. It can however also unfairly ruin careers or fuel negative perceptions of the police by overemphasising negative incidents.

Judiciary – The judiciary also plays an essential oversight role over the police in that it can receive complaints about crimes committed by the police, lead investigations about these crimes, often in cooperation with the police itself, and adjudicate these cases.

The integrity system of the police organisation

In addition to external factors and strengthening the capacities of external stakeholders, building an effective integrity system starts within the police organisation. There are many elements that compose such a system, of which those listed below are the main ones:

Defining and streamlining values – The police organisation should define its mission, its vision and its core values. It should make sure that they are reflected in strategies, regulations, a code of ethics and/or a code of conduct, and that all employees are fully aware of them.

Recruitment - Recruitment procedures should be transparent, fair, and provide equal opportunities for all groups of citizens, but also contain means to assess the integrity of the candidates and select those who have a strong moral profile.

Career system – A transparent, merit-based, and integrity-based career system is paramount to foster the motivation of police officers, as well as to retain and place in management positions the employees who promote a culture of integrity and act as role models to others.

Institutional support – The organisation should provide employees with adequate working conditions and institutional support, including legal (i.e. financial assistance in court proceedings, protection of whistle-blowers), psychological (i.e. stress counselling), and ethical.

Training – Training (whether basic, in-service, or specialised) is the opportunity to streamline the values of the organisation and to let employees reflect on and build their ethical decision-making skills.

Communication – It is essential to ensure open communication channels within the organisation and transparent decision-making that is operationally independent from politics.

Annex to modules: PIBP's understanding of Police Integrity

Management and leadership – Managers have the potential to act as role models for their team and to lead change processes in the areas that need reform. Therefore, they should be carefully selected and trained.

Internal control – The organisation is the first actor responsible for ensuring that the services operate as they should and that police officers who behave inappropriately are detected and held accountable for their action. There are many different systems of internal control across the world, but they usually include inspections of police work, the collection of citizens' complaints against the police, their investigation, and disciplinary procedures for wrongful action. In order to facilitate the detection of integrity problems, efforts should also be made to combat the police code of silence, to collect, and to analyse perceptions, data and trends on police misconduct.

Promoting professional standards – The police organisation should analyse the internal processes and procedures that create opportunities for misconduct and take measures to minimise these risks to integrity.

Holistic approach – PIBP is built on the belief that building a police service that functions with integrity can only be achieved through a holistic approach. Support should be provided to all the external actors and all relevant branches of the police organisation in order to build their capacities to strengthen police integrity. All of them should also officialise channels of communication and cooperation in order to join efforts towards police integrity.

Police Discretionary Powers: Impact on Integrity and Strategies of Control

Police discretionary powers, or police discretion, refer to the power granted to police officers to use their personal judgement in order to make decisions when applying the law.

Police officers are mandated to enforce the law and the rules laid down in laws and regulations. Written rules serve as general guidance and they aim at being applied in as many situations as possible. However, they cannot cover or be applied in the exact same manner in every concrete situation that a police officer may encounter in his/her everyday work. Moreover, real life situations are very often complex and this can create ambiguity as regards the applicable rule. Finally, in some cases, different rules can be conflicting with each other making necessary to decide which one to follow in the given circumstances. When faced with such cases, police officers are called to make a decision and act on the basis of their personal judgement, i.e. exercise their discretionary powers. In this context, discretion becomes a tool for the police officer in order to “fit rules to cases”¹.

Different factors influence the exercise of discretion by individual police officers. To list but a few, the seriousness of the act committed, the urgency of the situation, the previous criminal records or behaviour of the citizen(s) concerned, race and gender influences passed on to the local culture as well as the prevailing police organisational culture could all play a role in the manner in which discretion is expressed and used.

It becomes clear that, depending on the factors that influence individual police officers' actions or decision in given circumstances, discretion may pose a threat or a challenge to integrity.

By way of example, at the individual level, discretion may lead to discrimination or denial of due process, when for instance a police officer decides on the validity of a complaint or whether to take action on the basis of the ethnic origin of the complainant.

At the organisational level, decisions taken on the basis of discretion (e.g. how to allocate resources or which areas of police work to prioritise) can become unprofessional or unethical depending on the factors that influenced the decision making process.

At the external level, unethical behaviour resulting from exercising police discretion impacts negatively on the ties between the police and the community it serves.

In order to limit unethical behaviour resulting from police discretion, the latter needs to be controlled. There are three major strategies for controlling the discretionary powers of the police:

- Abolishment of discretion
- Organisational control
- Advancement of professional judgement

Abolishment of discretion signifies taking away the ability of police officers to decide based on their personal judgement through, among others, extensively regulating potential situations with which individual police officers can be confronted and ensuring the strict application of the law. However, one could argue that a total abolishment of police discretion is not possible because there will always exist some particular situation that will not be entirely or adequately predicted by written rules. In addition, in order to effectively carry out police functions, such as crime prevention and maintenance of public order, a margin of action is sometimes necessary (e.g. police officers having the freedom to decide how or when it is the best time to intervene in a particular situation). Lastly, abolition of discretionary powers through intensive control of all police actions and decisions, if possible, could hinder police efficiency as it would require an excessive amount of budgetary, human and material resources allocated to this effect; resources that would otherwise be used for fulfilling its security mandate.

Although a system of absolute control might not be feasible, a strategy of enhancing organisational control could contribute in delimiting and controlling the discretionary powers of police employees. At the outset, a greater emphasis of control can contribute to a greater visibility of actions and decisions taken on the basis of discretion (e.g. the decision not to make an arrest or prescribe a fine). For instance, increased supervision can have the effect of limiting discretion through offering specific guidance. In addition, strengthening internal control and external oversight mechanisms could lead to a greater accountability of individual police officers since there would be more opportunities to scrutinise their decisions and actions taken on the basis of discretion and impose sanctions in cases where the exercise of discretionary powers has led to misconduct or unethical behaviour.

¹Bittner, Egon. “The Functions of the Police in a Modern Society.” Maryland: National Institute of Mental Health, Center for Studies of Crime and Delinquency, 1970, p.4.

Module 5 - Annex

Notwithstanding the importance of heightened organisational control, it alone cannot effectively restrict discretion. Ultimately, when faced with a situation presenting a considerable margin of action, the course of action chosen depends on the individual integrity of each police officer. Therefore, the third strategy consists of the enhancement of professional judgement in order to induce police officers to exercise their discretionary powers in accordance with the principle of integrity. By employing integrity as the lens through which discretion is perceived and applied, the latter is circumscribed and controlled.

Enhancing professional judgement to this effect is not an easy task. It requires increased awareness at all levels – individual, organisational, external – of the challenges to integrity posed by police discretionary powers, as well as firm commitment on the part of stakeholders of all levels to a change of attitudes towards a sounder decision making process, notably but not only, through continuous in-service training.

For this reason, DCAF has adopted a holistic approach to integrity which aims at fostering a greater awareness on integrity issues on the part of individual, organisational and external stakeholders and strengthening their respective capacities to deal with these issues. Furthermore, DCAF considers training to assume a vital role in reinforcing the capacity of the police organisation to advance the individual integrity of its employees and promote ethical judgment especially in difficult or ambiguous situations that require the exercise of discretion.

Course Evaluation

Course title:

Place:

Date:/...../.....

Your input is valuable to us and we thank you for taking a few minutes to answer the following questions:

	Poor	Fair	Good	Very good
1. Overall, how would you rate this course?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. What did you think of the content of the course?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. What did you think of the facilities and logistics of the course?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. What did you think of the course methodology ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. How would you rate module 1 ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. How would you rate module 2 ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. How would you rate module 3 ?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. What did you like most in the course?				
9. What could be improved in the course?				
10. Do you have any additional comment or suggestion?				

Thank you!

Chapter 1

Adult Learning Guidelines for facilitation

Structure of this chapter

1. Introduction

- a. Definitions relevant to this chapter
- b. Overview of this chapter
- c. PIBP fundamentals related to this chapter

2. The training cycle

- a. Overview of the training cycle
- b. Time allocation in the training cycle

3. Adult learning theories, models, concepts and strategies

- a. Teaching vs Learning
- b. Student-centred and Teacher-centred Learning
- c. Considerations about learning strategies
- d. Adult Learning
- e. Other theories focused on Adult Learning
 - i. Behaviourism
 - ii. Constructivism
 - iii. Transformative Learning
 - iv. Holistic Learning
- f. Domains of Learning and Bloom's Taxonomy of Learning Objectives
- g. Experiential Learning Cycle
- h. Learning Styles

4. Best practices at different stages of the training cycle

- a. Needs assessment
 - i. Training Needs Assessment
 - ii. Job Task Analyses
- b. Plan and design
 - i. Training plan
 - ii. Developing learning content
 - iii. Determining the learning objectives
 - iv. Developing learning aids
 - v. Preparing the Review Process (Assessment & Evaluation)
 - vi. Considering alternative ways of training
- c. Deliver/implement
 - i. Trainer/facilitator
 - ii. Setting and maintaining a good learning environment
 - iii. Maslow's Hierarchy of Needs
 - iv. Six Category Intervention Analyses
 - v. Questioning & Answering
 - Who asks questions leads
 - Types of questions
 - Re-directing technique
 - vi. Effective use of learning aids
- d. The Review Process (Assessment & Evaluation)
 - i. Assessment
 - ii. Evaluation

1. Introduction

Definitions relevant to this chapter

Training administrators: persons responsible to plan, design, organise or evaluate the impact of the training. They can include staff working in human resources departments, training institutions, curriculum development and evaluation units.

Training: formal process leading to reinforcement or change of behaviour, knowledge, values, beliefs, skills or competencies related to a specific job, function or profession.

Facilitation: philosophy or technique used in training delivery to maximise the learning opportunities of adult learners.

Learning: assimilation of new knowledge that leads to a change in behaviour or attitude.

Adult Learning: relates to theories, concepts, models or strategies that focus on how adults learn.

Blended Learning: a mix of different strategies combined to maximise the learning effectiveness. This often includes the use of self-pace learning (like E-learning) combined with other forms of face-to-face training.

Overview of this chapter

This chapter will focus on adult learning theories, models, concepts and strategies that are appropriate for planning, organising, delivering, and evaluating training on police integrity.

We will start by introducing the training cycle and then we will focus on theories and concepts that are aligned with adult learning principles - which are foundational elements for PIBP and this manual.

Furthermore, specific courses of action will be provided at each stage of the training cycle. Particular attention will be placed on the delivery phase as a supporting element to trainers/facilitators that will facilitate the modules included in this manual. The chapter will conclude by providing suggestions on how to deliver training on police integrity to managers.

All the information, advice, guidelines and methodology suggested in this chapter are based on current paradigms in supporting or facilitating learning on police integrity. The research, theories, practices related to learning, teaching, training and facilitation on integrity are vast. We will focus on some of the most important points that support the objectives of this manual. Nonetheless, we will supplement the information with links for further reading - in case the user would like to explore alternatives or deepen their understanding on the issues presented. Annexes will also provide further reading for facilitators.

At the outset it is important to note that PIBP recognises different types of training: basic (entry-level); in-service; specialised/advanced (i.e. management). This manual is particularly useful for in-service and advanced. With necessary adaptations, the content and methodology presented can also be used in support of entry-level training.

PIBP fundamentals related to this chapter

“I never teach my pupils; I only attempt to provide the conditions in which they can learn.”

Albert Einstein

“You cannot teach a man anything; you can only help him find it within himself.”

Galileo Galilei

“I cannot teach anybody anything; I can only make them think.”

Socrates

Chapter 1: Adult Learning - Guidelines for Facilitation

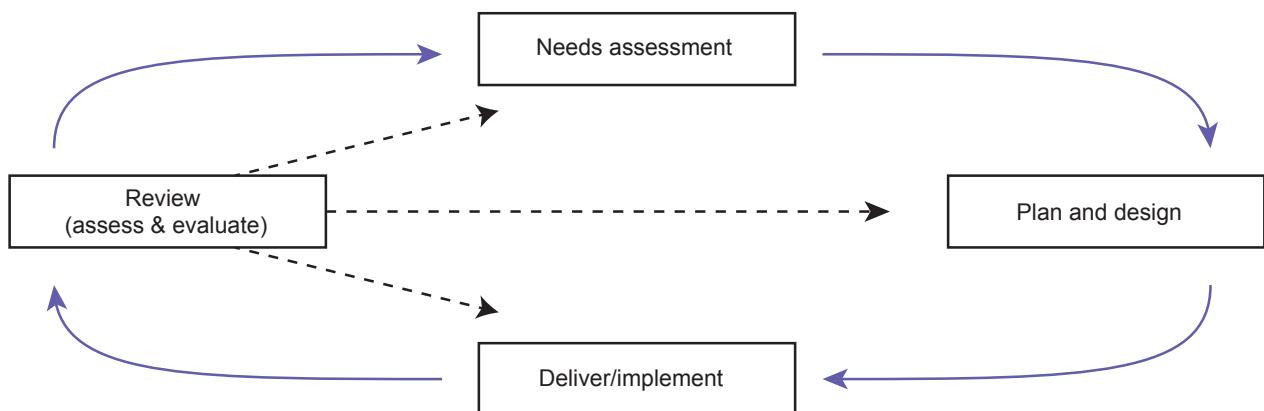
Many remarkable academics, researchers and people that have studied and practiced teaching, training, learning and facilitation have recognised and embraced the fundamentals captured by the above quotes.

This manual and the following chapter will acknowledge and attempt to follow these foundations and principles. We will thus briefly highlight how they can be applied in order to facilitate training for police officials - meaning, how they can provide the conditions for learning that will align actions and behaviours with the principle of integrity.

2. Training cycle

Training must be viewed as a continuous process or cycle. All steps are sequential but also complementary. At any stage of the cycle there are common elements and activities that are interrelated. It is therefore necessary that different stakeholders involved in training have sufficient knowledge related to the training cycle. Failure to understand all the stages and/or properly considering and addressing the issues presented in this chapter will likely lead to unsatisfactory results.

For the purpose of this manual we consider the following training cycle:



Adapted from: Buckley, R., Caple, J. (1995)

Overview of the training cycle

Needs assessment: This phase is usually the starting point of any training strategy. The main objective is to identify the discrepancies between the desired level of performance and the actual level of performance. This can be done at an individual level (strengths and weaknesses of individuals), at a departmental or organisational level (are current training programmes adequate or are new programmes required and are problems faced resolvable through training) and at a strategic level (what knowledge, skills and attitudes will be needed in the future). This issue will be developed later in this chapter.

Plan and design: This step involves the identification of the objectives of the training programme based on the gap analyses observed during the previous 'needs assessment' phase. The aim is to plan and design appropriate learning strategies to address the gaps identified in performance. This involves organisational issues linked with the administration of training (logistical issues), as well as preparing curricula for the training, content, learning aids and other supporting materials (learning content). This stage includes the development of indicators or measurements of success (learning outcomes/objectives) and the materials that will support the learning process (learning aids), which are both very important points. Lastly, this phase must consider the planning and development of a monitoring and review process – this will be used at the last stage of the training cycle to review and evaluate if the learning objectives have been met. This issue will be developed later in this chapter.

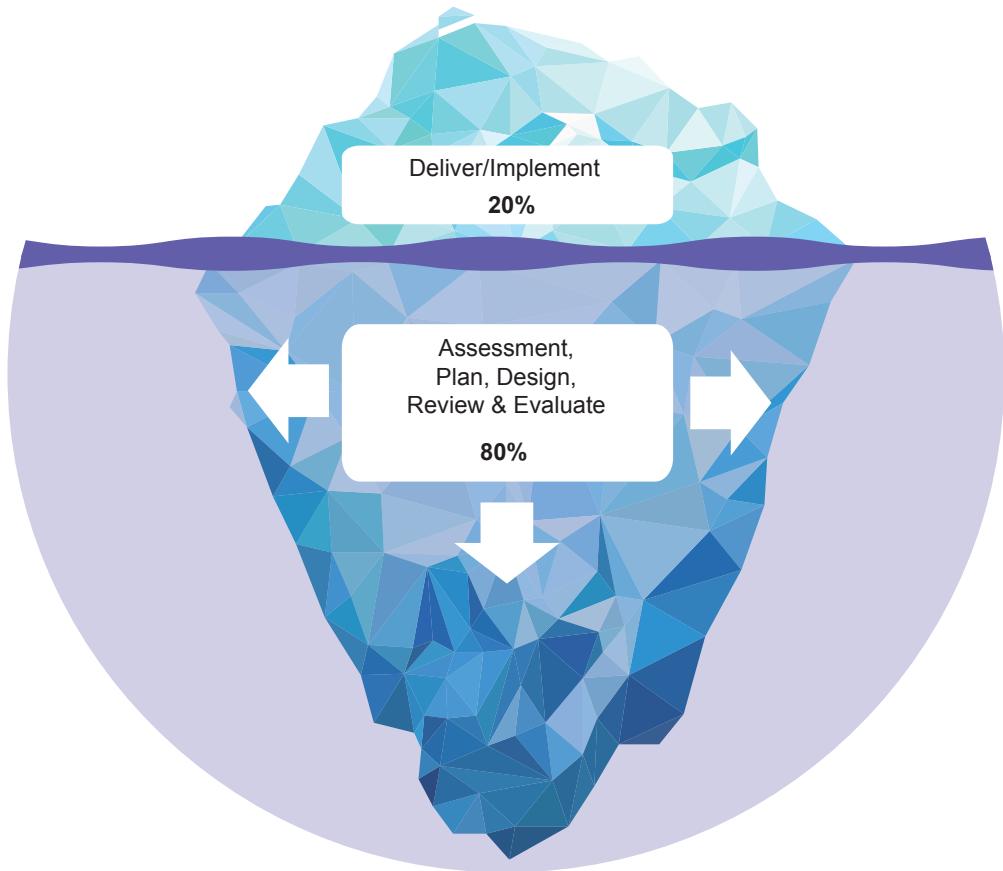
Deliver/implement: This phase is the most "visible part" of the cycle, as it is the first stage in which the strategies developed will be presented to the beneficiaries of the training (participants or students).

This includes managing the learning environment and providing the conditions for the beneficiaries to achieve the objectives established during the previous phases. In traditional approaches, this involves face-to-face or classroom training or workshops. However, in contemporary approaches, it also includes distance forms of training, like E-learning. For the purpose of this manual we will be primarily focusing on the traditional approach. This issue will be developed later in this chapter.

Chapter 1: Adult Learning - Guidelines for Facilitation

Review (assessment & evaluation): The cycle of training is not completed if not properly reviewed. The police organisation must also create and maintain conditions to conduct the training review and evaluation effectively. The process of training evaluations will allow corrections to be made in existing strategy and capacity, and improvements to be introduced. The practical distinction between review and evaluation is that we assess learning, while we *evaluate* the training process. It is important to remember that training is only successful if learning has occurred - meaning a transfer of knowledge, skills or behaviours to practice. This phase will provide further data for preparing the next training cycle.

Time allocation in the training cycle

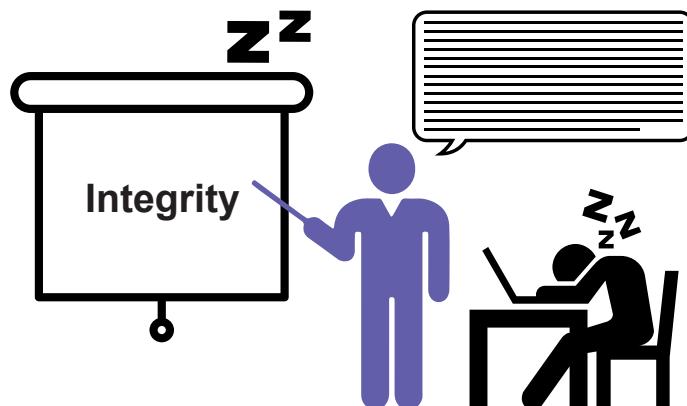


It is important to allocate proper resources and time for the effective delivery of training. On average, 20% of time is spent on the actual delivery of training, while the remaining time is spent on the other phases - ensure proper time allocation.

3. Adult learning theories, models, concepts and strategies

The following section will provide information on learning theories, models, concepts and strategies. The information presented herein is relevant to all the phases of the training cycle. It is important to understand them in order to make appropriate decisions in planning, designing, organising, delivering and evaluating training. The information is particularly useful for administrators and trainers who will be conducting police integrity training.

Teaching vs Learning

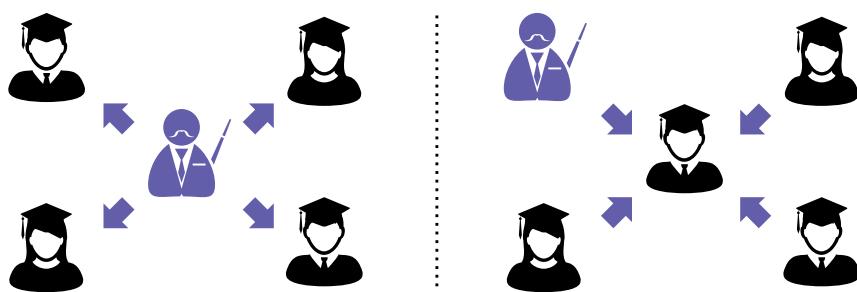


“The biggest enemy to learning is the talking teacher.” John Holt

The above is a fundamental principle for PIBP. At the outset it is crucial to understand that learning is about the participant (potential learner) and not about the teacher, or in our case the trainer/facilitator.

Although there will be times during a training process where there is a need to use learning strategies and methods that are trainer-centred, it is important to recognise that facilitation is more about student-centred approaches.

Teacher-centred and Student-centred Learning



Considerations about learning strategies

Learning strategies determine the approach for achieving the learning outcomes. Strategies should be tied to the needs of learners and take into account different learning styles. Carefully designed learning activities ensure that the intended learning outcomes are achieved.

There is no universal method or learning strategy. Reading, lectures, seminars, discussions, group activities, problem solving, case study, role playing etc. can all be appropriate depending on the learning outcome. Most importantly, however, is to choose a method or methods to match the task in hand. Research into the effectiveness of learning/teaching methods indicates that a *combination* of methods is likely to prove more effective, as a variety of methods helps to maintain interest and motivation from the learners. An imaginative choice of learning strategies and their efficient implementation and management allows learners to participate in a range of activities – listening, looking, talking and doing. This will also help facilitate their learning.

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Learning strategies can be classified as:

- passive (presentational) or active (interactive);
- individual or group learning;
- teacher-centred, learner-centred or subject-centred.

Further reading: http://www.businessballs.com/experiential_learning.htm

Adult Learning

Adult Learning is another fundamental principle of PIBP. Apart from being an overarching principle for our programme, and in particular this manual, it is also one of the most researched topics in education and training. The theory is widely attributed to Malcolm Knowles.

Malcolm Knowles (August 24, 1913 - November 27, 1997) was an American adult educator, famous for the adoption of the theory of andragogy – a term initially coined by the German teacher Alexander Kapp. Knowles is accredited with being a fundamental influence in the development of the Humanist Learning Theory; and the use of learner constructed contracts or plans to guide learning experiences (source: Wikipedia).

Thus, as opposed to Pedagogy - which focuses on children education and learning - Andragogy focuses on how adults learn and what is the best way to facilitate that learning.

The original Andragogy theory suggests that six elements facilitate adult learning:

Need to know – Adult learners need to know the reason for learning something. Initially and throughout the training, facilitators must clearly communicate the reasons for the training. Clearly defining the learning objectives and students' involvement at all stages of the training will assist in this process.

Experience is the foundation – Experiences provide the basis for learning activities with adults. Adults need to draw on their past experiences, while, through a process of trial and error, being able to form new ones. This is the most effective way of allowing adults to learn something new. Thus although as facilitators we often design our activities for learners with the aim of allowing them to progress successfully, it is also prudent to challenge the learners so they can reflect on their errors, enabling them to build an even greater foundation for future learning.

Responsibility – Adults need to be responsible for their decisions regarding education. They need to be responsible and be involved in the planning and evaluation of their learning. They will not respond well to a dogmatic approach, which involves dictating rather than teaching. Instead, involve them early on in the learning process and you will see greater results. This principle is also referred as the learners' self-concept. Adults have a self-concept of being responsible for their own decisions, and as such they want to be seen and treated by others as though they are capable of self-direction.

Relevance – Adults are more interested in learning subjects that have immediate relevance to their work or personal lives. Integrity is related to both the public and private sphere; facilitators must always emphasise this.

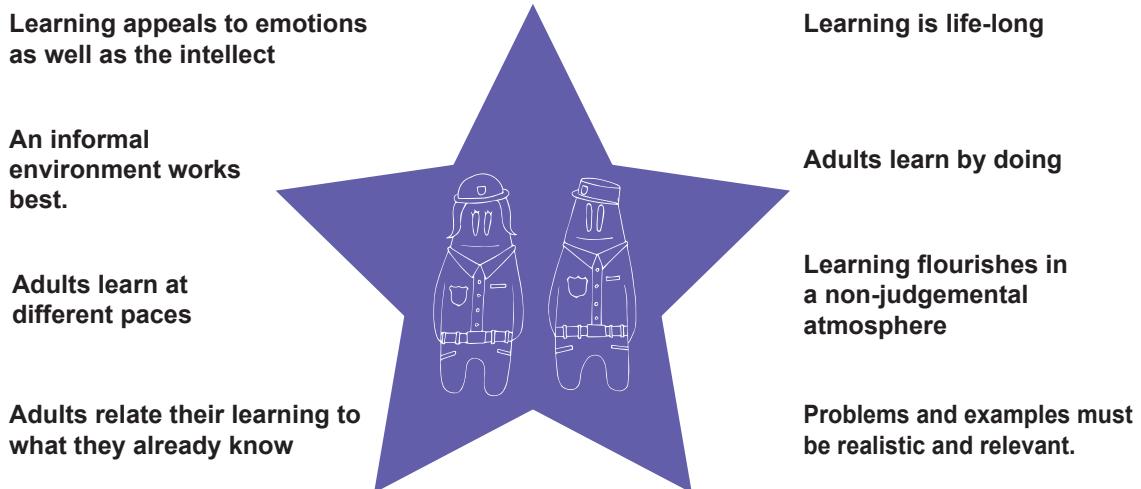
Problem oriented – Adult Learning is problem-centred rather than content-oriented. Participants do not want to listen to long lectures. They need to be given problems and an opportunity to solve them during the training.

Internal motivation – Adults respond better to internal motivators rather than external ones. Although in some cases adults respond to external motivators (e.g. a better job, higher salary, promotions), the best motivators are internal (e.g. self-esteem, greater self-confidence, self-actualisation). Most adults are motivated to keep growing and developing.

Motivation in training will be further developed in this chapter (Maslow's Pyramid of Human Needs).

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The following are other principles related to the original theory of Andragogy which are relevant to police integrity:



Further reading: <http://elearningindustry.com/the-adult-learning-theory-andragogy-of-malcolm-knowles>

Other theories focused on Adult Learning

Behaviourism

Behaviourism was introduced by Watson & Skinner and is based on the belief that all thoughts, actions and feelings can be viewed as behaviours. This means that in order to assess whether students have learned something or not we must assess whether their behaviours have changed. Therefore, this theory assumes that all learning is observable. To change behaviour, it suggests that learning is best achieved by receiving reinforcement through feedback. This theory provides support for building activities for students in the training programme, in which they are able to model new behaviours and receive immediate feedback on their actions.

Further reading: <http://en.wikipedia.org/wiki/Behaviorism>

Constructivism

Constructivism suggests that we learn new ideas or concepts based on current and past knowledge and experiences. This is achieved by making connections between our previous knowledge and the new information that we are given. As a result, new meaning is assigned to these connections and new knowledge, skills and abilities are generated. This theory also contends that the way in which we interpret and explain experiences influences our learning - not only what happens during the experience itself. Therefore, as a facilitator it is necessary to first identify what students already know or what experiences they have already had, before trying to relate new knowledge to those experiences.

Further reading: [http://en.wikipedia.org/wiki/Constructivism_\(philosophy_of_education\)](http://en.wikipedia.org/wiki/Constructivism_(philosophy_of_education))

Transformative Learning

Transformative Learning is closely linked to Constructivism, focusing on how adults make meaning of their experiences. This theory allows students to review their perceptions and question their previous beliefs. Learning is more than just absorbing content - it is about allowing adults to establish meaning and transform how they view the world. The two main principles are:

Critical reflections – This is the process of removing oneself from the situation and reflecting on its meaning critically. This involves considering it from multiple perspectives, examining the meaning that the individual has previously attached to a particular scenario and assessing whether that meaning is still valid and relevant.

Reflective discourse – This is about having active discussions with others to create new meaning. It is achieved by assessing the evidence and arguments of an issue and being open to alternative views or beliefs, before reflecting critically on that new information and making a new judgment of that situation.

Further reading: http://en.wikipedia.org/wiki/Transformative_learning

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Holistic Learning

This theory takes Constructivism one step further by emphasising the importance of education and meeting the needs of the “whole person”, from an intellectual, psychological, physical and spiritual perspective. It emphasises authentic learning experiences through learning from one’s natural environment by engaging with others and placing importance on personal and societal transformation. It suggests that each individual is part of a larger collective system and that we must educate the person within that greater context rather than trying to compartmentalise learning. This theory is based on three principles:

Balance – this suggests that the curriculum should balance traditional practice with spiritual, intuitive and collaborative learning methods.

Inclusion – people should explore different ways to learn and not discriminate against others based on their educational orientation.

Connection – focuses on identifying and establishing relationships between people, things and experiences - rather than separating them into different categories.

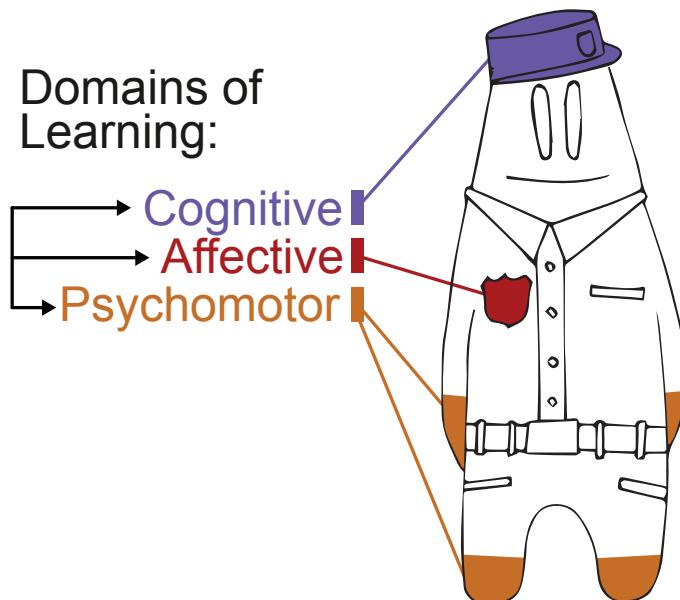
To facilitate learning from a holistic perspective, trainers/facilitators must respect the fact that each individual will have a unique learning experience and different needs. As the end goal and results may therefore differ for each person, the trainer/facilitator must serve as a guide throughout the process of learning. This can be achieved by encouraging active reflection of experiences and discussions about what those experiences mean to the learner.

Further reading: http://en.wikipedia.org/wiki/Holistic_education

Domains of Learning and Bloom's Taxonomy of Learning Objectives:

In selecting the learning outcomes, two fundamental psychological and learning theories must be considered: “Domains of Learning” and “Bloom’s Taxonomy of Learning Objectives”.

Both of these theories are anchored in research and findings that suggest learning happens in diverse ways - we can learn by memorising, establishing behaviours, displaying attitudes and acquiring new physical skills. These methods can be used both at work and in our private lives. This means that learning can happen in several domains. These domains of learning have been categorised as the **cognitive domain** (knowledge), the **psychomotor domain** (skills) and the **affective domain** (attitudes and behaviours). This categorisation is best explained by the Taxonomy of Learning Domains, articulated by a group of educational researchers led by Benjamin Bloom in 1956.



“Knowing what’s right doesn’t mean much unless you do what’s right.” Theodore Roosevelt

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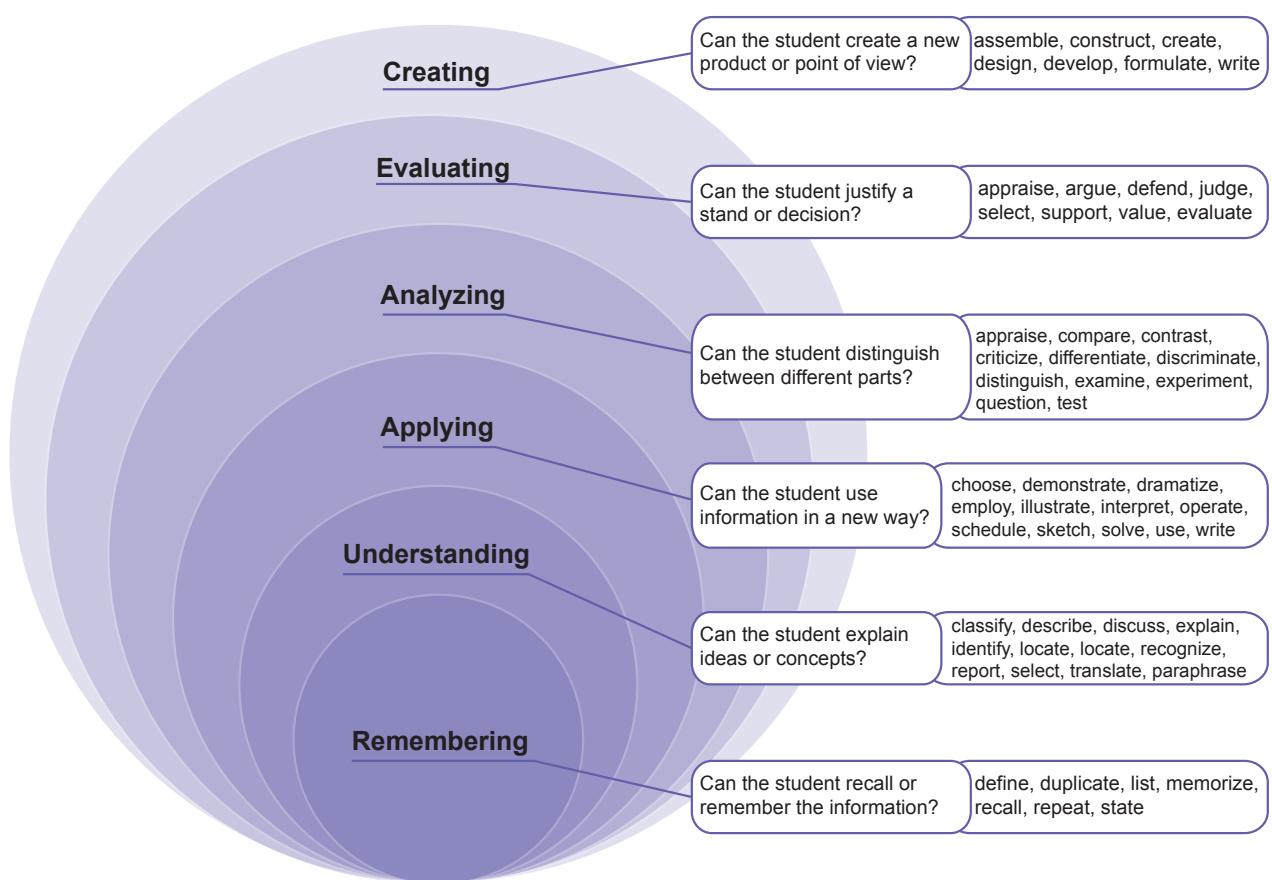
The process of **cognitive domain** consists of the recall and recognition of knowledge, comprehension (understanding the material and exploring it more actively) the application of knowledge (using it in concrete situations), exploring each new situation by breaking it down to its parts (analysis), then building it up into new concepts (synthesis), and finally assessing the new knowledge and judging its value (evaluation).

The **affective domain** consists of receiving stimuli, paying attention and developing awareness, then responding and evaluating the concepts and the process in which we are engaged, before making an assessment as to whether the activity is worth doing, and finally organising values into a system that characterises every individual and his/her commitment. This domain is the crucial one for this kind of training.

Learning in **psychomotor domain** starts with observing what skills are involved in a given task, and then proceeds by exercising and performing the task with assistance. When skills have been developed to the mechanical level, we can act without assistance - the highest level is reached when tasks are performed automatically and habitually. At this level a routine has, in a very positive sense, been achieved.

There is usually an interaction between the different domains of learning. Usually, learning in cognitive domain is a pre-condition for learning in other domains. Still, it can also be said that depending on the topic or the issue at hand there always exists a predominant domain where learning occurs and therefore the design of learning objectives should take this into consideration.

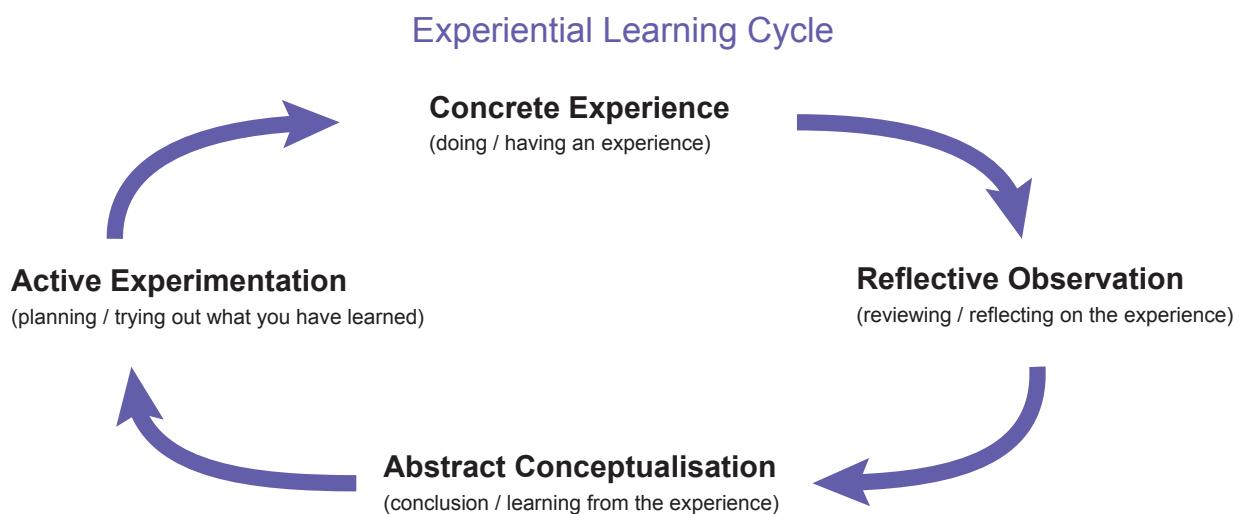
Integrity, as noted before, deals mainly with attitudes and behaviours, although it also includes aspects related to the cognitive domain (knowing laws, codes of conduct, codes of ethics etc.). It is crucial to recognise these aspects when designing learning strategies and learning outcomes.



Source: <http://pcs2ndgrade.pbworks.com/w/page/46897760/Revised%20Bloom's%20Taxonomy>

Further readings:

- https://en.wikipedia.org/wiki/Educational_aims_and_objectives#Learning_outcomes
- http://en.wikipedia.org/wiki/Bloom%27s_taxonomy
- <http://www.businessballs.com/bloomstaxonomyoflearningdomains.htm>



"Learning is experience. Everything else is just information." Albert Einstein

Based on David Kolb's experiential learning theory (ELT)

Source: http://www.ldu.leeds.ac.uk/ldu/sddu_multimedia/kolb/static_version.php

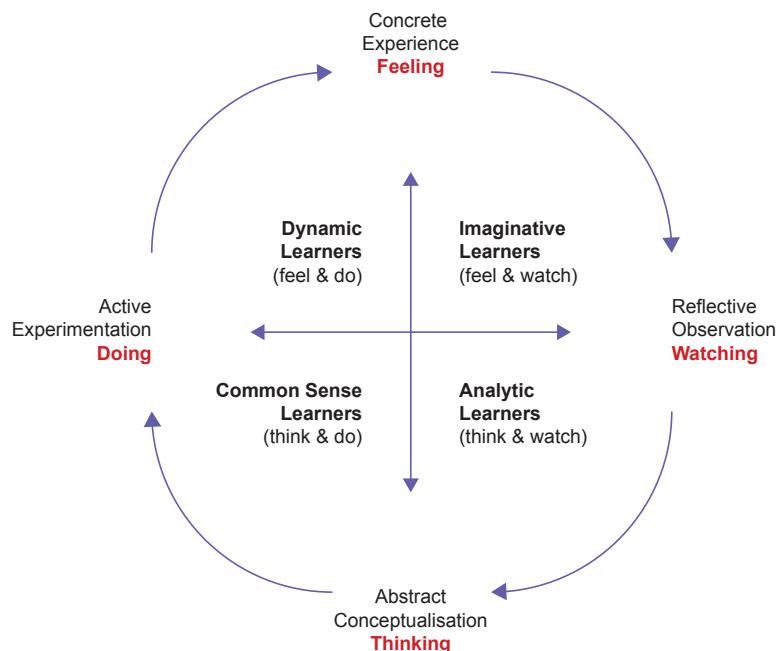
The training proposed in this manual is based on an **experiential learning model**, using interactive techniques. The model involves four elements: direct experience (activities in which learners build on their own experience or are exposed to the new one), reflection on the experience, generalisation (lessons learned) and applying lessons learned. It corresponds to the Kolb's learning cycle.

Further readings: <http://www.learningandteaching.info/learning/experience.htm>

Learning Styles

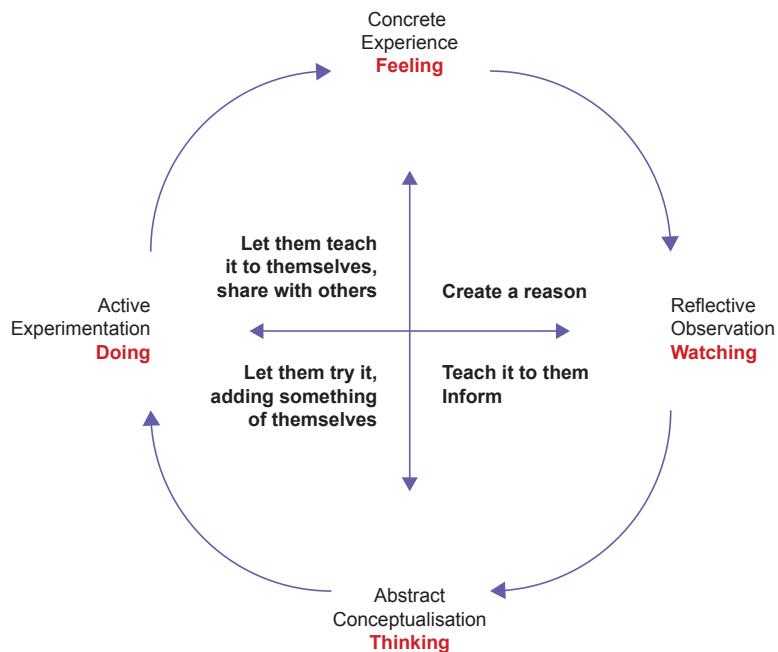
Each person has a different learning style and preferred learning technique. Learning styles group common ways that people learn. Everyone has a mix of learning styles and this fact should be taken into account when designing and delivering training. Some learners are **visual** and prefer using pictures, images, and spatial understanding; some are **auditory** and prefer listening and speaking; while some are **kinaesthetic** and prefer using hands and the sense of touch. We need to satisfy all of them, usually with learning aids and with a variety of activities.

Peter Honey and Alan Mumford developed their learning styles system as a variation on the Kolb experiential learning model.



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Trainers/facilitators should recognise that different learning styles exist. They need to be flexible and adapt to various learning styles. A range of activities will satisfy all learning styles. The picture below illustrates how a trainer/facilitator should vary his/her work.



Further reading: <http://www.businessballs.com/kolblearningstyles.htm>

If you want to check your learning style:

<http://www.educationplanner.org/students/self-assessments/learning-styles-quiz.shtml>

4. Best practices at different stages of the training cycle

This section will include further information on adult learning theories, concepts, models and strategies that are applicable to different stages. This practical advice or best practices are mainly for the trainer/facilitator but also for training administrators.

Needs assessment

Training Needs Assessment

Conducting a Training Needs Assessment (TNA) requires gathering data at the organisation, operational and person/individual level. Each level includes specific questions, data sources and collection methods. TNA should ensure that training is the most appropriate intervention to address a performance problem. Consider focusing on the issues related to police integrity highlighted in the modules.

Conducting an organisation assessment and analysis ensures that the organisation is supportive and on board with the training initiative. The alignment of training with the organisation strategy, the support by management and the resources available are the main issues sought in an organisation analysis. Be sure to provide sufficient human and financial resources.

Job Task Analyses (JTA)

This particular assessment focuses on the specific responsibilities of the job, its frequency, importance and difficulty. It should also highlight the competencies (knowledge, skills and abilities) needed to perform that job. Understanding what employees need to accomplish in their job is important for understanding how training can help address a performance problem. Data is gathered from people who have direct knowledge of work tasks, responsibilities and the expected level of performance from the employee in question.

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This manual has been developed through conducting a generic needs assessment on a specific country – Macedonia. It involved different methods and audiences. The findings were then compared with other research and assessments available in related literature. In principle, we are confident that the results would be similar to any other country with similar socio-cultural and economic circumstances. Nonetheless, assuming that every country and organisation has specific issues and needs, it is recommended that the training administrators and trainers adapt the PIBP suggestions to their particular context and circumstances.

Further readings:

- http://en.wikipedia.org/wiki/Training_needs_analysis
- http://www.businessballs.com/performanceappraisals.htm#skillset_and_TNA

Plan and design

Training plan

At this stage, consider developing a training plan. This strategic document is intended to guide implementation and evaluation of training, which is required to fulfill the training needs. A Training Plan should be the direct result of a Training Need Assessment.

A standard **training plan** could include the following information:

· **Training needed:**

- Title of the course, module or lesson;
- General description of the content or topics;
- Learning objectives;
- Source of the request (person, group or unit requesting the training);
- Negative consequences from not doing the training (further deterioration if the training need/gap continues).

· **Participants:**

- Expected audience for the course (number, job positions, ranks);
- Current knowledge level of participants;
- Anticipated reactions/challenges with participants.

· **Time management issues:**

- Anticipated start date of the training;
- Length and frequency of the training (hours, days, weeks etc.);
- Anticipated daily schedule;
- Number of participants per course and per class.

· **Resources available:**

- Logistic needs (budget, equipment etc.);
- Educational material (existing training programs, reference material);
- Personnel that will deliver the training (trainer, facilitator etc.);
- Where will the training be conducted (i.e. at the job site, at the training academy, at another “off-site” location).

· **Other issues:**

- How will we advertise and promote the training?
- Who will select and who will inform participants?
- Who will keep the records of participants attending the training?

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Developing learning content

Learning content refers to the body of information that learners are expected to remember - referring to behaviours, facts, rules, concepts, theories, and principles. Learning content must be developed following the learning strategies that will be put in place, taking into account the capacities of the organisation.

Once more, it is important to remember that the selection of the content and strategies must acknowledge that integrity training has proved more effective when adult learning techniques and principles are applied.

Determining the learning objectives

Learning objectives (or outcomes) must describe what a learner is expected to know, understand and be able to do after successful completion of a process of learning (ECTS Guide). Learning outcomes form the basis for what is to be learned, taking into consideration the competencies of learners in question (knowledge, skills and attitudes). It is important to note that the definition does not include the word "teaching" - today, what the learner does is more important in determining what is learned.

When designing learning outcomes, think about what exactly learners must be able to know and how they should behave when they have completed the training process. Having clear outcomes is useful for:

- The trainers/facilitators to know what needs to be done and how learning can be facilitated;
- The learners to know what they are supposed to learn and what they can expect during the learning process.

Characteristics of good learning outcomes:

- Specific – giving enough details and written in clear language;
- Objective – formulated in a neutral way and avoiding opinions;
- Achievable – feasible in a given time frame and required resources available;
- Relevant – for the profession;
- Standard-setting – indicates the standard to be achieved;
- Measurable –the evidence that students have learned.

How to write learning outcomes:

Usually we start with the statement "by the end of this course/lesson" ... followed by:

- Active verb form (action verb);
- The type of the learning outcome – knowledge, skill or attitude;
- Topic area – refers to the subject matter, field of knowledge or a particular skill or attitude;
- The standard or the level that is intended;
- Context of the learning outcome.

Remember that when selecting the learning outcomes, there are two fundamental psychological and learning theories that must be considered – "Domains of Learning" and "Bloom's Taxonomy of Learning Objectives". Please revisit previous sections for more information.

Developing learning aids

Learning aids are materials intended to support the learning process. They are both for trainers/facilitators and for learners. They include lesson plans, manuals, notes, boards, maps, charts, pictures, computers, recordings, diagrams or any equipment, tools, and devices that aid in the learning process.

We recommend a careful selection of learning aids. In facilitating training on police integrity the emphasis should be on discussions and group activities that keep the participants involved and engaged. Therefore the use of certain learning aids, such as presentations (e.g. PowerPoint presentations), should be limited.

The choice of learning aids will be affected by several factors, such as the learning strategies/theories, principles of adult learning and learning styles. These issues have been previously presented in this chapter.

The effective use of the learning aids will be addressed later in this chapter.

Preparing the Review Process (Assessment & Evaluation)

As mentioned before, it is important to lay the foundations for reviewing the overall process of design and delivering the training in order to conclude if the objectives of the training have been met. If the objectives have not been achieved, the result of this review should suggest corrective measures. The training managers or trainers must consider the development

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of questionnaires, surveys and similar tools to collect feedback from participants on how they perceived the training. A plan on how to test the students final knowledge should also be included here, done either in the form of written or oral testing. Please see other notes on this topic later in this chapter (the review process).

Further reading:

<http://www.businessballs.com/kirkpatricklearningevaluationmodel.htm>

Considering alternative ways of training

When planning and designing training strategies, administrators, training designers and trainers must consider alternatives ways for facilitating the training. Alternatives to traditional classroom teaching training can include, for example, E-learning or combination of both. This is known as “Blended Learning”. As mentioned before, PIBP uses Blended Learning in support of its objectives.

Further reading: http://en.wikipedia.org/wiki/Blended_learning

Deliver/implement

This section highlights specific issues related only to the delivery of training that are relevant for the effective implementation of the training modules included in this manual.

Trainer/facilitator

It is important to clarify what we mean by trainer and facilitator. Although they often have complementary functions, they play different roles.

Many times people confuse the term “facilitator” with “trainer”.

A trainer works in various areas, mainly educating employees of companies on specific topics of workplace importance. Unlike the facilitator, the trainer takes an active role and mainly transmits knowledge (source: Wikipedia).

A facilitator is someone who helps a group of people understand their common objectives and who assists them in planning how to achieve these objectives. In doing so, the facilitator remains “neutral”, meaning he/she does not take a particular position in the discussion (source: Wikipedia). A facilitator is a person responsible for leading or coordinating the work of a group (source: Dictionary.com).

In our case, we are referring to the role of the facilitator, who is an unbiased member of the learning process. His/her role is to skilfully assist a group of learners to understand their common objectives and to help them to achieve these objectives while remaining impartial him/herself.

The facilitator guides activities and helps achieve understanding. His/her task is to intervene in a way that adds creativity to a discussion rather than simply leading the discussion. He/she should have the ability to understand the group process and dynamics – in other words, to successfully address any inequalities in the group dynamic. The facilitator should be aware of who is dominating the group and how to prevent them from doing so; who is withdrawn and how to involve them and who looks dis-interested and how to draw them into the learning process.

The more we practice our creative facilitation techniques the more comfortable we become within ourselves and with the learners in question.

Further reading: http://www.teindia.nic.in/files/teacher_trg_module/8_creative_facilitation_techniques.pdf

Setting and maintaining a good learning environment

Learning environment refers to creating, building or providing conditions for a specific learning situation (i.e. training course/session). The learning environment depends on the strategy that has been selected.

As learning depends on the physical, social and psychological environment, a well-organised classroom is a prerequisite for effective learning. This includes factors such as a classroom environment which is supportive of human relations and tolerant of different opinions.

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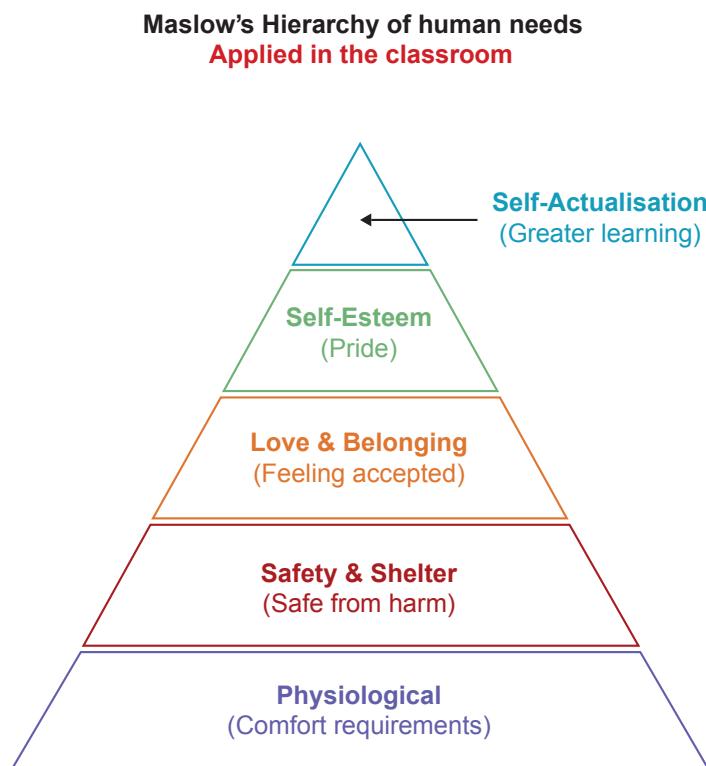
Maslow's Hierarchy of Needs

A supportive learning environment can be best understood through "Maslow's Hierarchy of Needs". This theory indicates that human needs are sequential, meaning that physiological needs must first be met, before other higher needs such as learning or "self-actualisation" can acquired. The sequence of needs is as follows:

1. **Physiological** needs are the most basic physical human need. In an organisational setting, they are reflected in the need for adequate heat, air, food, water etc.
2. **Safety and shelter** needs involves the necessity of a safe and secure **physical** and emotional environment.
3. **Love and belongingness** needs reflect the desire to be accepted by peers, have friendships, be part of a group and be loved. In a learning environment these needs influence the desire for good relationships and participation in learning.
4. **Self-esteem** needs relate to the desire for a positive self-image. The purpose of satisfying this need is to receive attention, recognition and appreciation from others. Within the learning environment, self-esteem leads to motivation and to an increase in responsibility and contributions.
5. **Self-actualisation** needs represent the desire for self-fulfilment, which is the highest 'need' category. Self-actualisation needs are built on the concern for developing our full potential, increasing our competence and becoming a better person. In the learning environment, self-actualisation needs can be met by providing people with opportunities to grow, be creative and to be exposed to challenging assignments.

The "Maslow's Hierarchy of Needs" has been widely represented as a pyramid. Many models can be found on publications and open sources on the Internet.

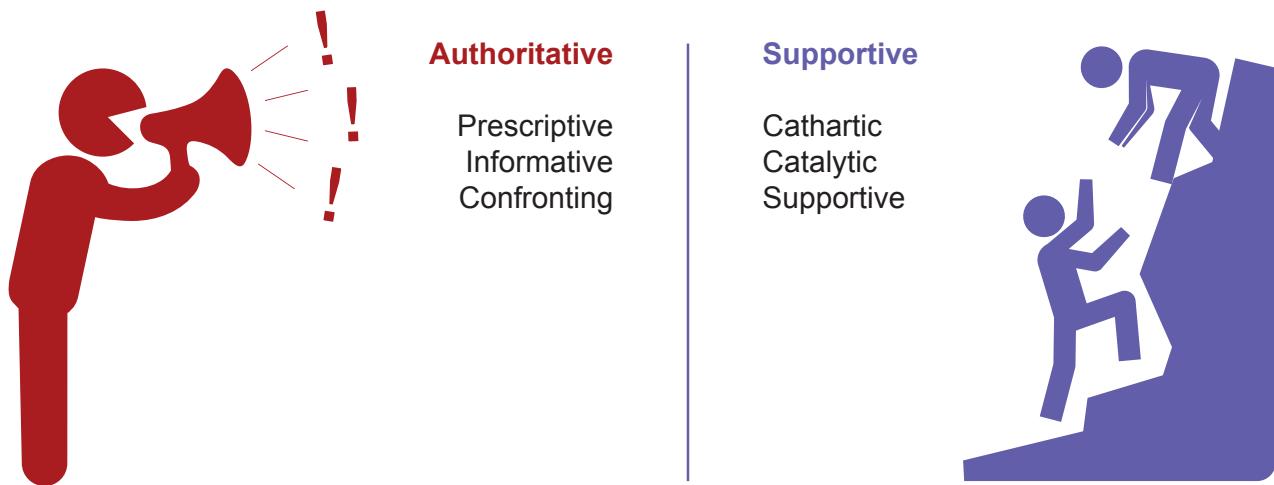
For the purpose of this manual, we will use a modified version – a pyramid of needs adapted to the classroom.



Further reading: http://en.wikipedia.org/wiki/Maslow%27s_hierarchy_of_needs

Six Category Intervention Analyses

Six Category Intervention Analyses



This concept deals with six basic kinds of interventions that the facilitator can use in the classroom. It was designed by John Heron (2001) as a means for analysing a range of possible therapeutic interactions and for a better understanding of interpersonal relationships. Today, it is widely used in training/learning management, among others.

In the learning process, it helps to address the psychological needs of the learner during the class or session. This concept consists of two groups of interventions – a) **authoritative** and b) **facilitative**. These are also sometimes used as complements to the concepts of learner- and teacher-centredness.

a) Authoritative interventions

Within authoritative interventions, the trainer/facilitator takes a more dominant role and responsibility for the learner's actions and behaviour by challenging them, giving them information or suggesting what he/she should do.

- **Prescriptive** interventions direct the learner's behaviour in the classroom by setting training objectives, schedules and rules (i.e. by guiding the behaviour of the whole class).
- **Informative** interventions impart knowledge, information and meaning for learners. The trainer/facilitator may fall into the trap of over-teaching - giving too much information - and as a consequence may risk losing the attention of the learners. Be aware that attention spans begin to decay significantly after just 20 minutes and that human brains are only able to absorb a limited amount of information in one setting.
- **Confronting** interventions try to raise the awareness of the learner about a limiting attitude or behaviour of which he/she is unaware. The trainer/facilitator should be careful not to "attack" the learner as a person, but to confront the attitude or the behaviour of the learner instead.

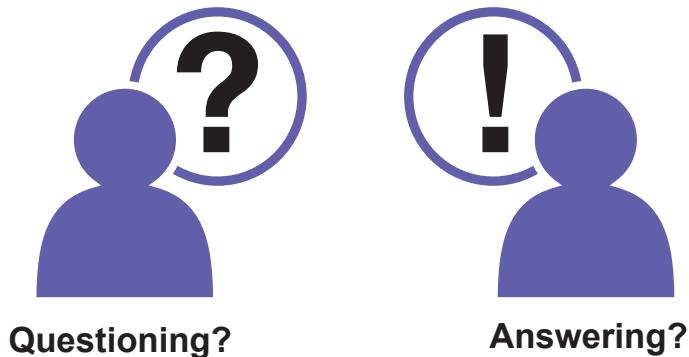
b) Facilitative interventions

Facilitative interventions encourage learners to become more autonomous and take more responsibility for their learning and behaviour.

- **Cathartic** interventions enable learners to express their emotions and to dispose of negative and limiting emotions. By asking questions, reviewing experience, encouraging new opinions and solutions, the trainer/facilitator enables the learner to solve problems in a new way. This encourages self-reflection and self-discovery.
- **Catalytic** interventions help the other person reflect, discover and learn for him or herself. This helps him or her become more self-directed in making decisions and solving problems.
- **Supportive** interventions allow the trainer/facilitator to affirm the worth and value of the learner as a person or his/her qualities, attitudes or actions. It can be done by feedback, praise and the meaning trainer/facilitator gives to what the learner says or does. This is a key technique in facilitation.

Further reading: <http://www.mindtools.com/CommSKll/HeronsCategories.htm>

Questioning & answering



"Most teachers waste their time by asking questions which are intended to discover what a pupil does not know, whereas the true art of questioning has for its purpose to discover what the pupil knows or is capable of knowing."

Albert Enstein

Who asks questions leads

Thinking is driven by questions - learners who ask questions think and learn. Questions force us to deal with complexity; define our tasks; look at sources of information as well as at the quality of information; examine how we are organising or giving meaning to information and what we are taking for granted; examine our point of view and to consider others' points of view; evaluate and test for truth and correctness; give details; be specific and examine our thinking for internal contradictions. Questions can structure and control communication. Police officers are trained in questioning. They tend to use short and pressing questions to collect evidence and/or to keep distance from the individual.

Types of questions

We will consider two main categories of questions – **closed** and **open**:

Closed questions permit only one answer, usually a yes or no answer. Such questions can be followed by an additional question. You can ask the learner to explain his/her thinking behind the answer or to provide evidence or an example.

Open questions do not require a straightforward or precise answer. They support reflection and give the space for learners to come up with several possible answers.

A sequence of questions is most effective in encouraging discussion and active learning, like - *When does that principle apply? Always? Only under certain conditions?* However, if more than one unconnected question is asked, learners might not respond because they might be unsure which question the trainer/facilitator wants them to answer.

Bloom's Taxonomy provides useful model to think about when and how to use questions in learning. As we mentioned, Bloom identified six types of cognitive processes and ordered these according to the level of complexity involved. The trainer/facilitator should combine questions that require "lower-order thinking" (often "closed" questions) to assess students' knowledge with questions that require "higher-order thinking" ("open" questions) to assess abilities to apply, analyse, synthesise and evaluate information and concepts.

Questions like - *What are the values or beliefs that support this argument? or What would be your reaction to this argument?* - encourage learners to explore their attitudes, values and feelings.

Questions like - *How do you think that this issue is viewed by those with whom you disagree? What do you think about the idea just presented by your colleague?* - direct the learners to respond to one another. If as a trainer/facilitator, you are asked a question, there is no need to always answer the question immediately. You can rephrase and/or redirect the question back to the learner - in this way encouraging his/her own thinking and searching for an answer.

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Re-directing technique

This technique is very effective in facilitation. The process includes addressing the question asked by any member of the group to another person. That means that even if the trainer/facilitator knows the answer he/she should give an opportunity for any of the participants to answer. Along the way clues can be provided to assist in the process. Only as a last resort should the facilitator provide the correct answer.

If time is limited and there is no opportunity to redirect the question to the group, re-direction can be used to the same person that asked the question by asking what he/she thinks about it. Some clues may be provided to lead to the answer.

Know it all – A good trainer/facilitator must recognise that he/she might not have all the answers. He/she gains more respect from peers if he/she does not try to play the role of “know-it-all”. This should be made clear at the start of the training. Inform the participants of your roles and capacities, as well as your limitations. It is better to come back to the answer later than providing the wrong information. The objective should never be to focus on how much the trainer/facilitator knows or the capacities he/she has - it is about facilitating the conditions for others to learn.

Remember: **it is not about you - it is about them.**

Further readings:

- <http://www.mhhe.com/socscience/english/tc/pt/discussion/discussion.htm>
- <http://www.presentation-pointers.com/showarticle/articleid/582/>

Effective use of learning aids

Learning aids, also called visual aids, are fundamental in facilitating learning. There are many types of aids and we will be selective in their presentation. Please see the following link for types, advantages, disadvantages and other information about their use:

<http://www2.le.ac.uk/offices/lr/resources/presentations/visual-aids>

It is up to the trainer/facilitator to make a decision on what learning aids to choose. This decision must be made while taking into account the learning objectives, availability of resources and overall learning strategy.

This manual encourages the use of flip charts, whiteboards, PowerPoint presentations and occasional videos. All of these aids are further supported by participant's handouts that are distributed for group activities during the sessions.

The use of **videos** is encouraged. However, due to language/translation constraints, we could not include many in this manual. Nonetheless we strongly encourage the use of videos in the local language to illustrate a message or objective. The use of videos is particularly effective when used to generate a discussion about a particular situation (e.g. showing a real life example of police officers interacting with the public).

As for **flip charts or whiteboards**, they are usually widely available. It is advisable to use them when we want to demonstrate something while talking or developing a concept, to record points made by learners or enable learners to record or illustrate group reports. They are particularly effective in conducting brainstorming exercises.

The use of a computer and projector can be also used for note taking, like a flip chart and whiteboard. The advantage is that you can easily correct text and you can also record all ideas and return to them later if necessary.

PowerPoint presentations – They are useful and can be effective but they are too often misused or overused. Over time, a consensus has emerged suggesting that when used exclusively, PowerPoint presentations can be ineffective, primarily because they often replace the presenter/trainer/facilitators notes or lesson plans. Often trainers/facilitators find themselves simply reading from the screen - this is not recommended.

Another problem in use of PowerPoint presentations relates to the extent of time that they are used for. As for any other learning aid or training method, the recommendation is that maximum time of use should not exceed 20 minutes. That is, of course, if during that time there is no interaction with the participants.

Attention span – To better understand the previous recommendation, we recommend further reading at the following link:

http://en.wikipedia.org/wiki/Attention_span

Chapter 1: Adult Learning - Guidelines for Facilitation

Some rules for an effective PowerPoint Presentation – Be aware that having too much text on the screen can defeat the purpose of using PowerPoint presentations. The slides begin to look overburdened by the amount of content, making slides difficult to read and indistinguishable from one another. Learners will try to read everything, copy everything down, or simply lose interest. List only the key points. If you have more information to include, use more slides or create handouts. There are some other rules that need to be followed for the effective use of PowerPoint:

- Limit the number of words per line (3 to 4 per line optimal, 6 to 7 maximum);
- Limit number of lines per visual, less than 10 per slide;
- Focus on one idea per visual;
- Avoid too much information;
- Use colors to focus on key information;
- Use graphics, animations and images when appropriate;
- Directly relate to learning outcomes;
- Keep slides simple (it should only take a moment to figure out what the slide is about).

Have a backup plan – It is important to remember to always have a backup plan in case something goes unexpectedly wrong with the computer or projector (e.g. a cut in electric supply). To avoid this scenario, it is prudent to plan alternatives to your training aids.

Test your aids before the start – Be sure to test your aids in advance. Arrive to the classroom early enough to make sure that all your aids are tested. Set up the classroom in a way that ensures proper visibility to your learning aids from all the angles of the room and sitting places. Make a checklist of issues in accordance with your lesson plan. This can include, for instance, verifying if all flip charts have paper; if the pens have sufficient ink, and that the computer and overhead projector are working properly.

Proper planning is the key for success – or as for the adage “Proper Planning Prevents Poor Performance” see the following link: <https://osc-ib.com/expert-articles/proper-planning-prevents-poor-performance>

The Review Process (Assessment & Evaluation)

Assessment

As previously stated, an assessment makes sense if participation in the training involves the attainment of a reward or certificate that is required in order to perform certain tasks or job; is connected to promotion, career development or to a change of workplace. By combining the learning outcome with an early decision of what the review tasks will be for each learning outcome and how the assessment will mirror the learning activities, trainers/facilitators signal to the learners what level of passivity or selective memorising is acceptable and/or what activities they will accept from their learners. Learners are known for strategically focusing on what they will be assessed on, not on what occurs in the learning process.

If the assessment is taking place, the following criteria need to be considered. The assessment should be:

- Authentic – we assess learners' own work, we require learners to apply their skills and knowledge in a meaningful real life situation;
- Valid – we assess what we wanted to achieve with learning outcomes (at the desired level);
- Reliable – reliable assessment will produce the same results with the same or similar participants or job holders;
- Objective.

Under the assessment category we can list self-assessment, peer assessment and feedback as formative assessments which contribute to the learning process.

Self-assessment allows learners to assess their own performance. It is valuable in helping learners develop self-reflection, critique and professional judgment. They learn how to be responsible for their own learning.

Peer assessment allows learners to assess each other's performance. It is valuable in helping them to learn from each other by listening, analysing and problem solving.

Facilitators should be aware that learners always appreciate **feedback** - even if they then go on to ignore it! There is a simple rule: use feedback to guide learning and not to judge it. Feedback should be used by the learner to improve his skills/knowledge. They need to know what they have done well and what is good about it, what needs to be improved and how to improve it.

Chapter 1: Adult Learning - Guidelines for Facilitation

Evaluation

Evaluation is the systematic acquisition and analysis of information to provide useful feedback about training activities. The most frequently used model for evaluation of training activities is Kirkpatrick's evaluation model that measures at 4 levels and with different tools:

1. Reaction of learners – what they thought and felt about the training;
2. Learning – the resulting increase in knowledge or capability;
3. Behaviour – extent of behaviour and capability improvement and implementation of new knowledge or capabilities;
4. Results – the effects on the work environment resulting from the learners' performance.

Information about the **reaction** of learners can be collected orally or in written form through a survey or a questionnaire. **Learning** can be checked by tests or observation. Changes in **behaviour** mean that learning has been applied in the workplace, can be observed after some time, and hopefully becomes permanent. Information can be obtained by direct observations, interview with the superiors, and by other means. **Results** refer to how the newly gained knowledge or competencies have contributed to the overall performance of the organisation. Information about results can be found in organisation reports, performance indicators, decreased numbers of complaints etc.

Note: For the purposes of PIBP, it is vital to measure the change in attitudes and behaviours. That means that what matters more than cognitive aspects related to learning is any changes in behaviour and attitudes in a manner that is consistent with principle of integrity.

Further reading: <http://www.businessballs.com/kirkpatricklearningevaluationmodel.htm>

Chapter 2

Human Resources Management and Integrity

Structure of this chapter

1. Objectives

- a. Definition
- b. Context

2. Key indicators, principles and good practices of HRM related to integrity

- a. Recruitment
- b. Training & workplace induction
- c. Career system
- d. Management and leadership
- e. Working conditions and support mechanisms
- f. Gender dimension in HRM related to Integrity

3. Summary & key points

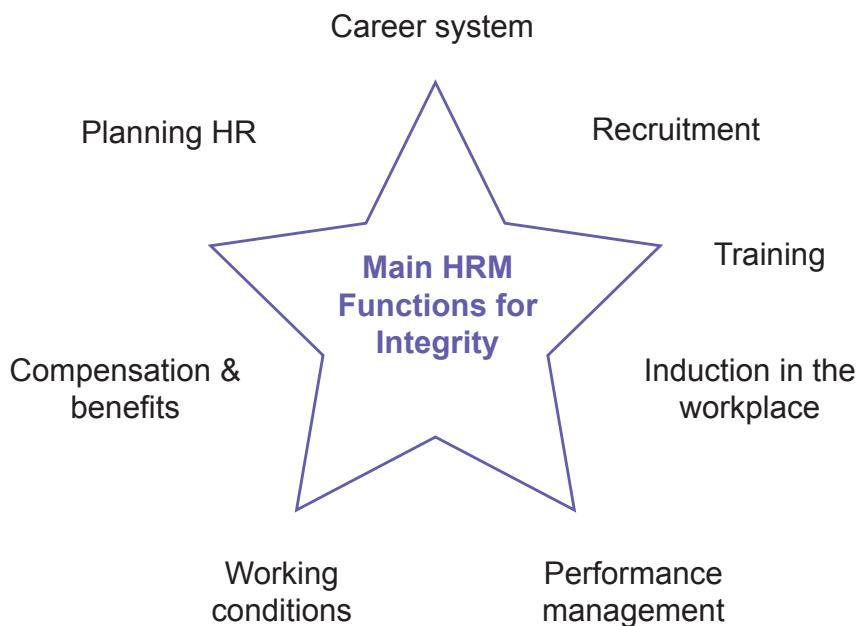
4. Annex

- a. Power and Leadership

1. Objectives

Definition

Human Resources Management (HRM) is a strategic and comprehensive approach to managing the workplace culture and environment, as well as dealing with people's relations with the organisation. It is a function within an organisation that focuses on work force planning, recruitment, development, management, and guidance of the employees of the organisation. HRM also consists of performance management, including compensation and benefits as well as disciplinary issues.



Context

At the core of an effective and efficient police organisation is a functional Human Resources Management (HRM) system. Its absence or dysfunction seriously undermines the fundamental principles of a modern police service, including performing their roles and functions with integrity.

The main objective of HRM is to attract, recruit, train and retain “the right people for the job”, who in our context are people with high levels of integrity. To achieve that goal, the police organisation must create and nurture a principled and ethical work environment. A transparent, representative and accountable career system, aligned with democratic values and principles that promote respect of integrity standards is therefore paramount. Another vital element for the organisation is to ensure that a fair system of rewards and punishments is in place. Those who adhere to integrity principles in their behaviours must be acknowledged and rewarded (i.e. given promotion opportunities or salary increase). On the contrary, those who deviate from these principles should be promptly and fairly held accountable. These aspects must be addressed by a functional performance evaluation system. In addition, the organisation should grant effective legal and psychological protection to their employees. In the process of dealing with complaints against them, police officials must be assured of full respect of their human rights. Rehabilitation procedures must exist in case wrongful or unproved accusations have been brought forward. Support mechanisms must also be in place for officials dealing with traumatic events deriving from police work. Mechanisms to protect the individuals who report internal wrongdoing in the organisations must exist. Also a very important aspect in prevention of integrity breaches is to create a system that can support police officials that might have financial problems due to a variety of reasons.

Police organisations are increasingly aware that HRM is fundamental and are or have been engaging in the process of strengthening their systems. The purpose of this section is not to cover all aspects related to human resources management, but rather to attempt to draw attention to some of the most important principles or best practices. These are intended to be inspirational rather than binding. PIBP recognises that there are many different approaches across the world and that they are intended to be responsive to the legal and policy frameworks in place in individual countries and organisations.

2. Key indicators, principles and good practices of HRM related to integrity

Recruitment

“Attract the right people” – A good HRM strategy should include measures to make the police job attractive for people to apply and consider it as a vocation. In general, people choose a profession after taking into account many factors – economic, social, cultural and psychological. Their choices can be affected by their circle of friends, family, formal education, abilities, finances, and other factors/considerations. Ideally, people should choose to become police officers not just for socio-economic reasons but foremost by vocation – because their aptitudes, principles, values, and beliefs are consistent with the police job.

Having in place a well-defined and transparent career system and clear organisational values that are constantly communicated to the public will increase the chances of making the police job attractive. This in time will encourage the right people to apply for the right reasons. An effective public relations department can assist in the process of conveying these messages and values to the public. In society today, the internet and social media are also vital platforms through which the image of the police is shaped.

“Recruit for attitude and train for skills” – The recruitment criteria must be “competency-based.” That means that all aspects affecting the good performance of the job must be considered. In addition to knowledge, skills, and abilities, the candidate’s values, behaviours, and attitudes must be considered in the recruitment process. Institutions should complement the traditional approach to staff selection based on knowledge tests and physical capacities by recruiting mainly for other competency indicators. It is easier to develop knowledge or skills during training than to change values, behaviours, and attitudes, which are at the core of a person’s integrity. Due to this fact, screening, psychological testing and background checks are important components of a successful recruitment process. A properly planned interview process should address motivational issues of the candidates as well as moral and psychological traits related to integrity.

Training & workplace induction

Training – For the purpose of this chapter, training is defined as the formal process of reinforcing or changing behaviour, knowledge, values, beliefs, skills or competencies related to a specific job, function or profession.

Training strategy – This is the main guiding document that should be developed in support of an effective and efficient HRM system as it relates to training. This strategic paper must consider all relevant aspects of the planning of training, including why, who, when and how police officials should be trained. The planning should include objectives and actions for all stages of the training cycle. This issue is developed in the chapter 1 “Adult Learning - Guidelines for Facilitators”.

Basic (initial) training – This is a vital process in the career of a police official. Having already been recruited with specific competencies (knowledge, skills and attitudes), new recruits should receive quality training in order to become familiar with the organisations’ integrity principles. This training should emphasise how important integrity is for the organisation and develop positive attitudes and motivations. The type of training provided, in terms of content and methodology, is very important. The curriculum (or content and messages that are delivered) is important, but, foremost, proper learning strategies for adult learners must be adopted. Both content and methodology must be consistent with the specific needs associated with training in this area. Indeed, integrity has more to do with values, attitudes and beliefs than with knowledge. Therefore, training methods should be chosen with particular care. For instance, discussions centred on real cases or role plays are more suitable to raise police awareness and encourage reflection than lecturing. A chapter in this manual focuses on these essential aspects – Chapter 1 “Adult Learning - Guidelines for Facilitators”.

Workplace induction – Following the training, employees should be integrated in working environments that nurture integrity. This is the introduction of the staff to the organisation’s culture and will decisively shape the police official’s future path. Therefore, motivational factors to help employees feel they are doing meaningful work and are appropriately recognised for their efforts are crucial. Mechanisms to support employees facing ethical dilemmas should also be created. Moreover, role modelling by peers and managers plays an important role in this period.

It is recommended that a workplace induction system include a probationary period. During this probationary period, the police officials should be assessed for all competencies related to work, including integrity. Some systems assign the new staff member a peer in charge of mentoring and assessing his/her performance. Monitoring, control and evaluation by management is also particularly important during this period.

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Continuous (in-service) training – Training on integrity issues should not be neglected once basic training and the probationary period are completed. Continuous or in-service training that focuses on integrity issues must be included in the training strategy and implemented. For this type of training as well, it is crucial to adopt a tailored curriculum and proper learning strategies for adult learners. Both must be consistent with the specific needs of the group, whether they are police managers or officers.

In-service training is essential because police officials are constantly faced with ethical and integrity issues that need to be addressed in a timely manner. Contrary to basic/induction training for new police officials, in-service training opportunities must capitalise on the concrete experiences of the officers. With experience, questions arise and officers need to debrief and discuss, and they might not have the opportunity to do so otherwise. It is important to take time to reflect back on their performance, consider what can be improved, and relate theories and concepts to concrete problems and real situations. It is also another opportunity to re-emphasise that integrity is an important principle of the organisation.

Note: PIBP and this manual focus on this type of training.

Law enforcement agencies can help prepare their officers for the ethical challenges they face during their careers. However, that will require changing the way this topic is approached by the organisation and teaching and integrating the information throughout the organisation.

Officers live and work in a constantly changing and dynamically social context in which they are exposed to a myriad of ethical conflicts. When either unprepared or unaware, officers are more likely to “go with the flow” than they would be if they were adequately prepared to face potentially ethical risks. Everyday, officers practice mental preparation as it relates to tactical situations. Officers who are mentally prepared to face a lethal encounter are more likely to be successful than other officers who are tactically proficient but mentally unprepared. Just like lethal encounters, ethical dilemmas occur at the most inopportune times, frequently without warning and with little time to stop and think about the situation. When inadequately prepared, even the most honest, above reproach officers can make inappropriate split-second ethical decisions . . . decisions that can result in life-changing consequences. If officers are going to survive ethical dilemmas they need to be as mentally prepared as they would be for tactical encounters.

Gilmartin & Harris, 1998, Quoted in: Good Policing: Instruments, Models, and Practices by Monica den Boer and Changwon Pyo, p. 61.

Unfortunately, police organisations and HRM systems often neglect the importance of in-service training and do not allocate sufficient time and resources to it. Many police officials go through their careers without attending any form of training and the large majority has not participated in ethics or integrity training. In other cases, the training is delivered without any quality control mechanisms. This means that ethics or integrity-based training is often inadequately planned, delivered and evaluated, and therefore useless.

According to the UN principles on training, police officers have to “receive continuous and thorough professional training” and police organisations have to ensure that “their continued fitness to perform these functions is subject to periodic review”. Moreover, governments and law enforcement agencies are required to “ensure that all law enforcement officials are provided with training and are tested in accordance with appropriate proficiency standards in the use of force”. (Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, Havana, 1990)

Management of training - General considerations for all types of training:

- Training programmes should be tied to professional development and merit-based promotion systems. That means that apart from a clear and objective appointment system, the incumbents of any post or level of responsibility must have adequate training to perform their job.
- Human resources departments must develop and maintain a training database where all trainings are recorded – this information should be linked with staff's personnel file (see also notes on the Chapter 1 – Adult Learning – Guidelines for Facilitators).

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Career system

As mentioned before, a career system assumes a pivotal role in fostering integrity and is related to many HRM aspects. From recruitment to training strategies and from retention to promotion of police officials, including performance evaluation systems, a well-defined, transparent, fair and inclusive career system is fundamental to a police service that functions with integrity.

Career systems are strongly related to the motivation of the police officials. If they do not exist or are inadequate, the attitudes of officials towards the job can seriously be undermined. On the contrary, a well-defined, transparent, and inclusive career path fosters positive attitudes and behaviours in the organisation.

Democratic principles and issues that influence the career system

At a strategic level, the HRM and career systems must be built on strong democratic principles. This means that political and operational independence must be streamlined with respect to legal and accountability principles both at external and internal levels (oversight and control).

To ensure that a career system follows the principle of accountability while maintaining operational independence, the following core principles must be integrated:

- Clear separation of political and operational decisions – The political functions and the police operational functions must be complementary, not overlapping. In a simple way the political functions deal with “WHAT” while the operational functions deal with “HOW”.
- Levels of police decision-making must be formalised – this includes decisions about who should be responsible for:
 - *Resources* – funds, equipment, staffing of an organisation;
 - *Organisational structure and management*;
 - Organisational policies for the organisation’s operations;
 - *Priority-setting* for the use of resources;
 - *Deployment* of available resources;
 - *Specific operational decision-making*

For police officials, one of the principal benefits of having a career system that is built and maintained on the democratic principles listed above relates to job security. These aspects prevent certain types of mis-conduct and integrity violations. Job security is not just related to economic aspects (compensation and benefits), but more importantly to the opportunity and freedom to perform duties in accordance with law.

An essential support element to the above is to ensure that a career system is built on competency and merit of the police officials and not on political or other group loyalties, which is contrary to the principles of integrity. The promotion system must be transparent and clearly defined in laws or regulations.

A good practice in this area is to establish and sustain a reliable system for assessing performance. Performance assessment or evaluation systems should be applied to all police officials with necessary adaptations to their specific functions. Two dimensions should be taken in consideration and assessed: a) the performance in the assigned duties; b) the potential for promotion, i.e. the qualities and skills which would be needed for being promoted to a new rank/function.

Another key element of success in a performance management system is to define the way performance assessment is managed and delivered to the staff concerned. It must be personalised as to allow a direct communication between the assessor and the person assessed. Constructive discussions and feedback coupled with action planning or possible performance improvement are crucial. This might include agreeing on further training coaching or other form of competency improvement. The positive performance must be clearly pointed and as much as possible the promotion or rewards options must be discussed.

Another element of a good career/performance management system is a well-defined chain of command, supported by clear job descriptions that should unequivocally address all roles, expectations and required performance levels.

“Career promotion and progress are aspects which are important organizational elements. . . with respect to ethics. Job descriptions and rank structures should be clearly described (OSCE, 2008: 46). It should be transparent for all police officers what merits and credits they have to receive in order to be eligible for promotion.” (Boer & Pyo, 2011, p. 60)

Chapter 2: Human Resources Management and Integrity

Accountability – External oversight and internal control

A fundamental principle of modern and democratic policing is accountability. External oversight and internal control mechanisms are the two areas that support accountability in the police organisation.

External oversight includes external to the police, state and non-state mechanisms whose aim is to ensure that police activities are subject to scrutiny. It can include parliamentary committees, human rights and ombuds-bodies, anti-corruption and audit institutions. In a broader context, civil society organisations, media and other non-state organisations also play a role in external oversight of police work. Although they are not under the responsibility of the organisation and therefore not related to HRM function, it is important to highlight them in the context.

Internal control encompasses internal to the police mechanisms and systems which aim at preventing and reacting to integrity violations, including through disciplinary sanctioning. Police organisations are responsible for building and sustaining effective and efficient internal control mechanisms.

In the prevention axis of internal control, it is important to consider the principles mentioned above in relation to recruitment and training. In particular, during the recruitment process, background checks, psychological tests and other controls should be conducted in order to access whether police candidates have principles and values that are aligned with those promoted by the police organisation, notably integrity. During employment, control can be performed through a variety of mechanisms such as direct supervision, gifts registration, lifestyle monitoring, and review of police work, surveillance, integrity testing, or the establishment of an efficient complaints system. A good practice in this area would be the development of an early warning system. An early warning system aims at the identification of patterns of behaviour that lie outside the norms and regulations of the police organisation through data collection and processing (e.g. unprofessional police behaviour that is detected through citizen complaints data). The identification of a behavioural pattern, i.e. a warning, is then used in order to organise an intervention to correct the behaviour or to investigate for potential misconduct.

In cases where an integrity breach is detected, sanctions should follow as a result of disciplinary procedures, which – if appropriate – can consist of the non-promotion of the official concerned or the non-recruitment of the candidate in question.

Sanction mechanisms are traditionally linked with codes of discipline that function as a complement to codes of ethics or deontology. These codes determine which kinds of behaviours are aligned with integrity and how potential integrity violations are handled. Traditionally, a code of ethics can also specify types of behaviour that are expected of police officials. A code of discipline lays down behaviours that violate integrity and are, therefore, considered unacceptable by the organisation. Disciplinary procedures leading to sanctions when integrity standards are violated are also prescribed in that code. HRM decisions linked with promotion should take into account whether the police employee concerned observes the Codes of Ethics and Discipline as well as his/her personal record with regard to violations of integrity standards.

These topics are going to be further discussed in the modules of this manual.

Management and leadership

Interesting debates and research around the topic of management and leadership have been conducted over the last decades. Many arguments, suggestions, ideas and theories have been presented on these issues.

One of the more recent publications that debate these topics is “Decision Making in Policing” 2011, EPFL press. An extract of chapter 4, “Power and Leadership”, is included at the end of this chapter as annex, for further reference and complementary reading.

Leadership: For the purpose of this chapter and manual, leadership is understood as a principle or value that should be embraced by all police officials regardless of their rank or functions. Leadership is often linked with the responsibilities of a manager or supervisor. However, for PIBP, leadership is considered essential for all staff, even for police officers at the very beginning of their career. The term “leading by example” is relevant in all contexts of police work. For example, a police officer should act as a leader and positive role model to his new colleagues or in the community he/she serves. Leadership and integrity are fundamental overarching principles that should guide the actions and behaviours of all police officials.

Management: In a police organisation, a manager plays the most important role in building and maintaining a police service that functions with integrity. Competent managers with strong leadership skills are crucial to organisational integrity as they are the “moral compass” of the police service. Furthermore, managers sustain organisational integrity by means of control, supervision and performance management.

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Other managerial functions that also influence integrity include strategic planning, developing of operational procedures, allocation of human and material resources, support to change processes and communications (internal and external).

"[The managers] are above all responsible for introducing and implementing an ethics-based strategic framework. . . . [Managers] are the spider in the web and maintain relations internally as well as externally. Internally, they are responsible for recognising tensions across the ranks, and externally they integrate communications with the criminal justice system, the political and administrative authorities, interest groups, the media and – last but not least – the community. Moreover, managers are responsible for bringing proceedings against officers who have contradicted codes of conduct." (Boer & Pyo, 2011, p. 58)

Working conditions and support mechanisms

Working conditions – The working conditions play an important role in building and sustaining integrity. All police officials must be compensated financially in an adequate and proportional way as related to the socio-economic conditions of the country. A balanced salary scale within the organisation, based on clear performance management criteria is a crucial factor in fostering motivation and also acts as a preventive factor in sustaining integrity. Fair and equitable salaries are also very important to prevent some deviating behaviours related to lack of integrity such as corruption.

Other factors conducive to motivation include the existence of proper facilities and equipment. The work of the police is largely affected by the work premises and the equipment used to perform the work. The lack of adequate facilities and equipment not only affects the morale of the officers but also has an impact on the relations with the public. For example, if the police facilities do not allow privacy in dealing with certain types of complaints, citizens will most likely not report them.

"All law enforcement officials shall be adequately remunerated and shall be provided with appropriate working conditions." (Guidelines for the effective implementation of the UN Code of Conduct for Law Enforcement Officials – 1989/61)

Support mechanisms – One of the most important factors of motivation for police officials to perform their duties relates to the existence of protection mechanisms in case of alleged misconduct or even when integrity violations have happened. Another dimension of support involves offering a "social support" to police officials facing family/private problems, including possible financial problems.

Equal to all other citizens, police officials must also be assured of fundamental human rights including the presumption of innocence and legal protection. The police organisation must include in their HRM policies fundamental mechanisms to protect those fundamentals rights. This includes, for example, the right for legal representation, fair trial, appeal procedures and rehabilitation measures in case of malicious or wrongful accusations.

Another important aspect is the existence of psychological support to police officials. The nature of police work, which often confronts officers with traumatic events related to crime, demands an HRM system that includes psychological support to police officials. Traumatic events can affect work performance and lead to unprofessional conduct. Psychological or peer support should be considered in an HRM system.

Occasionally police officials might face economic challenges deriving from their private life style or circumstances. Apart from the impact in their performance and productivity, it might also lead to unethical, misconduct or corruption behaviours. It is therefore important that the organisation integrate in the support system these aspects.

Whistle blowing protection – As a general principle and in most of cases by law, police officials are encouraged or obliged to report violations of integrity by their peers including supervisor.

"Law enforcement officers who have reason to believe that a violation of the present Code has occurred or is about to occur shall report the matter (i.e. corruption offence) to their superior authorities and, where necessary, to other appropriate authorities or organs vested with reviewing or remedial power" (Article 8 of the UN Code on Loyalty and Whistle-Blowing states).

This mechanism is very important for maintaining integrity, but the organisation must consider the appropriate protection mechanisms to encourage police officials to use it without the fear of any negative consequences.

For more information on this topic please see DCAF's "Toolkit on Police Integrity", chapters 4 and 5.

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Gender dimension in HRM related to integrity

DCAF has been working to support the integration of gender issues in security sector institutions and security sector reform (SSR) processes since 2003. PIBP is also strongly committed to streamlining gender aspects in all policies and practices related to the police.

The following are key aspects to consider as they relate to HRM and police integrity:

Removing obstacles in the recruitment process – Tests or qualifications that automatically eliminate a majority of a specific group (women for example) or which use quotas to limit the participation of some groups rather than encourage participation should be critically evaluated for their actual need and effectiveness.

Job descriptions – In considering specific issues related to gender aspects, a job description analysis should identify what is necessary and desired for the position. This should be linked with concerted effort to be sensitive to the needs of the community and avoid discriminatory hiring practices. Similarly, avoiding job descriptions that focus on the need for physical strength or size is consistent with broader efforts to transition to democratic policing that prioritises service over authority.

Implementing family-friendly policies – One of the greatest barriers for both recruiting and retaining female police officials are the issues of pregnancy, birth, childcare and family. Most female police will be confronted with them at some point during their career. How a police agency handles this reality is therefore critically important to whether the agency is able to successfully recruit and retain female police.

Preventing sexual harassment and discrimination – Sexual harassment and perceived discrimination, related mainly to promotion, continue to be leading reasons cited for the resignation of women from policing. Strong policies that both prevent and respond to these undesirable behaviours, in combination with outreach and training, are critical to increase gender awareness.

For more information on gender and DCAF work on this field please visit the following website:

<http://www.dcaf.ch/Programmes/Gender-and-Security>

3. Summary and key points

- ▶ Functional human resources management systems are essential to sustain integrity in a police organisation.
- ▶ The police job must be attractive for citizens with integrity traits who want to join the police service.
- ▶ Recruitment procedures must be consistent with the integrity requirements of a police job.
- ▶ Attitudes aligned with integrity must be at the top of the list of recruitment criteria.
- ▶ Training plays a crucial role in shaping the integrity competences and organisation's culture in all police officials, especially during the initial phase of the career.
- ▶ Training on integrity topics should be provided to all police officials, at all ranks, during all stages of employment in the police organisation.
- ▶ A career system that supports integrity must be competency-based, well-defined, transparent and fair.
- ▶ Political and operational decision making must be regulated in support of a fully functional democratic police service that functions with integrity.
- ▶ The accountability principle which includes external oversight and internal control mechanisms is an integral part of an HRM integrity strategy.
- ▶ Internal control includes both prevention and reaction to integrity violations mechanisms.
- ▶ Performance appraisal/assessment systems must be set in support of the promotion and deployments in the organisation and also be used to correct performance issues that might arise during a police official career.
- ▶ Working conditions, such as salary, equipment and facilities must be adequate to motivate police officials to perform jobs within the integrity parameters.
- ▶ Support mechanisms to police officers that face integrity challenges must include psychological, legal and financial support.

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- ▶ Mechanisms for police officials to report integrity breaches of peers and superiors are essential in police organisations and must be encouraged.
- ▶ Leadership is key principle that must be sought and nurtured at organisational level and embraced by all police officials.
- ▶ Managers play the most important role in building and maintaining a police service that functions with integrity.
- ▶ Competent managers with strong leadership skills are crucial to organisational integrity as they are the “moral compass” of the police service.
- ▶ Gender aspects must be especially considered at all human resources management process.
- ▶ Proper job descriptions, equitable recruitment, and promotion policies and procedures largely contribute to strengthening gender equality in police services.
- ▶ Prevention of sexual harassment and discrimination must be at the core of organisational policies and procedures.

4. Annex

a. Power and leadership

Power and leadership¹

What is power?

A system is defined as an “ensemble of elements and actors, interacting mutually and with their environment, and organized to achieve certain objectives.” In the security system, for instance, the chief actors are the military, the police, the border guards, and private security companies.

In this context, an organization can be described as a social entity (interactions between its members), rationally organized (management, structures, procedures), accomplishing activities (mission) in a framework whose boundaries are fixed (territories, service line, customers), and pursuing clearly identified goals (strategy) in an environment with which it interacts.

An organization can also be seen as an arena where competition takes place between members whose interests and objectives may differ from the collective. In order to achieve their personal goals, individuals may exploit the specific advantages linked to their organizational position – if they possess a key specialization – provided these are relevant to the opportunities that they wish to exploit. Hence, an organization should not be seen as particularly rationally driven; inefficiencies and conflicts must be reckoned with.

Power must therefore be exercised in order to avoid special interests prevailing over organizational goals. Power can be employed positively for achieving organizational goals.

An analysis of an organization must take into account the different actors involved and try to understand their interest and objectives, which strongly influence organizational functioning. Taking the example of the criminal division of a police force, one can draw the following illustration. At the bottom, the individual detective will aspire to promotion; at the unit level, the chief will also seize every opportunity for promotion, but may also fight to increase the resources allocated to his or her unit and oppose other unit chiefs who pursue the same objective. All will rally, however, to enlarge the autonomy and advantages of the criminal branch within the force and all police – detectives and uniformed officers – will unify when advantageous, in order to obtain more benefits from political authorities.

Power, even in a hierarchical organization like a police force, is never unlimited and cannot always be identified by looking at an organizational chart. Power can be defined as the ability of certain individuals or groups to act over other individuals or groups. Conversely, the ability of certain individuals or groups to resist the power of others in an organization is also a form of power acquisition, as it will confer upon them a kind of bargaining power. Negotiation is therefore a key concept, and power can be measured according to the more or less strong position it confers to those who sit around a negotiating table.

According to French and Raven's classification, there are five types of power: reward power, coercive power, legitimate power, expert power, and charismatic power. One should add the power of nuisance, because if an individual or group can harm the functioning of an organization, they will obtain a power of negotiation vis-à-vis the management. The consequence of such a situation is that an organization chart does not accurately display the relationships within an organization; members who may not have a senior position may, however, have a strong influence because of their charisma, their relations, or their expertise; legitimate power can hence be weakened or even kept in check.

Power within an organization:

Mintzberg studied the distribution of power within an enterprise. He differentiates between six categories of personnel; each one owns a certain power that influences the operation of the organization: general direction, management, skilled operators, unskilled operators, analysts and support personnel. Applying his grid to a police organization, one can establish the following simplified structure of power (Table 1).

¹This annex is an extract included in chapter 4 of the publication ‘Decision Making in Policing: Operations and Management’, Pierre Aepli, Olivier Ribaux and Everett Summerfield, copyright 2011, EPFL Press, PPUR, Lausanne, (www.epflpress.com). Reproduced with publisher’s authorization. All rights reserved.

Annex 1 to Chapter 2: HRM and Integrity - Power and leadership

Table 1 Distribution of power in a police organization.

Function	Types of Power	Influence
Chief	Legitimate (high); Reward and punishment (partly direct, partly indirect, depending on decisions at political or judicial levels); Expertise (variable); Charisma (variable).	Legitimate power confers an influential position. His or her expertise, charisma and control of information will add or diminish the level of influence enjoyed. His or her relation with political authorities and the outside world will also play a role.
Officers	Legitimate (high); Reward and punishment (generally indirect but important); Expertise (technically high); Charisma (variable).	Depends mainly on the recognition that their subordinates give them based on their expertise and charisma.
Police officers	Mass power rather than individual; Power (legitimate) more directed towards the outside world than within the organization.	Their power may come from their more or less large autonomy (detectives have more than uniformed police officers) and of their aggregate power, which they can apply in negotiations.
Civilian	Expertise power.	Their influence will depend on their area of expertise; that is why their power will instead be attached to an individual accomplishing a specialized function rather than to a group. A computer specialist may play a key role but a waiter at the police restaurant will not.

How to acquire power?

What are the principal means of obtaining influence? Specific skills – as far as they are important for the organization (think of computer specialists) – access and control over information, and access and proximity to the decision-maker (for example, a chief's secretary, who can act as a gatekeeper) are elements conferring power to their holders, irrespective of their position in the formal organizational hierarchy.

Building up a reputation (of expertise, of success, of being well connected) is another powerful means; but perhaps the most effective way of acquiring influence over others is to create a relationship of dependence. This can hinge on the capacity of the superior to provide the subordinate with the necessary resources to succeed. Hence, the chief subordinates will evaluate him or her according to his or her capacity to obtain new resources.

Misunderstandings in police forces between chiefs and police officers frequently arise from the fact that the objectives and interests of both parties are different. Police officers expect more resources – they create new possibilities of promotion – and a chief, restricted by financial constraints determined by political authorities, will often have to search for alternatives ways of bolstering the means available. He or she may have to resort to measures of restructuring and personnel will only reluctantly accept downsizing. To manage such situations, a chief will have to maneuver with dexterity. He or she must on the one hand comply with the allocated budget and on the other hand focus on maintaining a positive climate within the force. How can one achieve such a result? Transparency, communication and contacts are primary components of success in this type of situation.

Nevertheless, subordinates can also create a relationship of dependence with their superiors. Their power may stem from their unique expertise or from relations established with influential people outside the force or because they have been chosen to represent others. Union leaders within a police force are important figures in this context. One can thus observe that power is not unidirectional. Legitimate power does not always suffice and real authority must be backed by other factors.

Leadership

It was necessary to discuss the issues of structure and power prior to leadership, in order to understand that the power of leaders is not unlimited within the boundaries set by structures, other actors, and available resources (to name but a few constraints). The best leaders will know how to survive within this “jungle” while unfit ones will constantly bump up against constraints and remain inefficient, leaving them vulnerable to replacement.

Each member of an organization knows there are good and bad leaders. The question is what differentiates them? The following section will try to sketch an answer in identifying first the tasks and roles of leaders, and then present some features of good leadership. Before concluding, some examples will be illustrated of actions and behavior of leaders that have led to success or failure.

Annex 1 to Chapter 2: HRM and Integrity - Power and leadership

Managers and leaders

It is important to first distinguish between managers and leaders. Some authors, like Tom Peters, have sketched a contrast between dull managers striving to administer their organization and flamboyant leaders whose vision, enthusiasm, and charisma transforms their followers. This debate will be avoided here, as the qualities that a chief must demonstrate depend on his or her ability to match appropriate methods to different situations that arise. The chief must sometimes manage, and at other times lead. Thus, this section will use the terms manager and leader interchangeably.

Tasks and roles

Mintzberg makes a crucial distinction between the tasks and roles of managers. On this basis, it is easier to list the tasks that should be completed by each leader and the roles best suited to an individual according to his or her personal qualities and skills. Each manager accomplishes (should accomplish) five basic tasks: to analyze, and set objectives; to organize; to motivate and communicate; to control; and to evaluate and give feedback. In addition, a manager should train his or her personnel and engage in self-development.

Mintzberg divides the roles of a leader into three categories:

- An interpersonal role, where he or she acts as a figurehead of an organization and creates or maintains contact with potential and important partners.
- A communication role, where he or she gathers or passes on information.
- A leader role, where he or she acts as an entrepreneur in developing and realizing a vision, as a fireman when addressing problems and crises, and as a resource allocator when arbitrating between conflicting demands.

These differentiations highlight a truth that is not often times admitted: nobody can possess all the qualities necessary to perfectly fulfill all these roles. Therefore, in selecting a leader one must take into account the kind of contribution he or she will be expected to make. On the other hand, a successful leader knows his or her strengths and weaknesses and tries to compensate for the latter by appointing people who possess the skills lacking. The art of building a team consists of assembling the different qualities covering the entire range of described roles.

Some key issues for a leader

A leader must realize that his or her authority is not absolute. Given the extent to which internal and external factors limit power, it is important for a leader to identify and assess the influence of such factors. Secondly, a leader must realize that his or her authority depends more on credibility than on legitimacy. Thus, a leader should strive to increase their credibility through building upon successes, enhancing their expertise, and enlarging their network of relationships.

A leader must acknowledge that the higher he or she rises in a hierarchy, the less he or she leads directly, instead he or she works through others. Hence, a leader must be ready and know how to delegate. Assuming new responsibilities requires viewing problems from new angles. Drucker notes that "the most common cause of executive failure is inability or unwillingness to change with the demands of a new position. The executive who keeps on doing what he has done successively before he moved is almost bound to fail."

Therefore, to succeed in entering a new job, means being able to reflect on that job, identify the requirements and honestly analyze if personal skills and qualities correspond with those requirements. In this context, the notion of a leader's contribution should be addressed. A leader must also answer a key question: "What can I do that can't be done by another person, and if done exceptionally, would make a real difference to this organization?"

A leader's contribution is to be understood as the key activity her or she alone can provide and if not done by him or her would either not be accomplished, or be poorly achieved.

A leader's contribution will always have to relate to three major areas: achieving results; embodying, communicating and constantly reaffirming organizational values; in addition, developing the skills of personnel, especially those who her or she will lead.

Promotion is a key factor for success within an organization. In the context of police promotions, poorly defined expectations can lead to failures. Very frequently, a police officer is promoted based on the good job he or she has done or on the basis of seniority. Often, training for recently promoted officers is also inadequate.

Returning to the situation in a police force, acute problems can be provoked by errors in promoting people without taking into account the qualities and skills they will have to master in their new responsibilities. Consider, for example, an excellent drug investigator who is promoted to head of the drug unit. In his or her new position, he or she will have to demonstrate management qualities that were not necessary in the previous job. Failure may then be caused by the new manager simply continuing doing what he or she previously did and discarding the tasks attached to the new function. He or she would thus anger the members of his or her team in meddling with their work and demonstrate them because he or she does not fully perform the role devoted to the head of the unit; tensions would soon appear. Three lessons can be drawn here:

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firstly, the quality of the job done at a certain level does not imply that the person has the necessary quality to move up the management ladder; secondly, selection and promotion systems must take into account the profiles of the positions to be filled, and assess the candidates accordingly; thirdly, future leaders must be prepared, through adequate training programs, for their new responsibilities.

In this context, it is essential to understand that the mix of qualities and skills needed for achieving success in a position changes according to the tasks and the level at which they are accomplished. Skills can be divided into three categories: technical, human and conceptual. The relative importance of these skill sets will change according to an individual's position in the organization.

What causes success or failure?

[...] Table 4 Factors that influence success of projects

Factors of success	Factors of failure
Rigor in the analysis of the problem.	No questioning of traditional rules.
Flexibility in the use of methods.	Use of the same methods in different situations.
Tenacity in respect of principles.	Lack of attention to detail or incapacity to go over details.
Development of a vision.	No sense of direction.
Ability to act.	Inability to handle issues rapidly.
Capacity to communicate a vision.	Poor communication.
Capacity to self-assess.	Inability to perceive weaknesses or take them into account.
Humility.	Arrogance.
Perseverance.	Retaining inefficient staff.

Information, decision, and leadership styles

It has been shown that one factor of success consists of grasping the characteristics of new situations and being able to adapt to them. Adaptations may concern the ends (adapting goals), the ways (adapting methods), or the means (adapting resources).

Leadership style represents an additional factor that can be linked with the organizational environment and personnel. Beyond the mechanics of the decision-making process, the personality of the leader may greatly influence his or her style of leadership. For instance, what is his or her attitude towards risk? What is his or her degree of self-confidence, or confidence in others? The kinds of problems he or she has to address will also have to be taken into consideration.

Summary and key points

- The exercise of power within an organization is necessary so that its goals are achieved.
- An organization will never be very rationally driven; the personal objectives and interests of its members may oppose those of the organization and create inefficiencies and conflicts. Power must therefore be exercised in order to avoid situation of personal interests prevailing over organizational goals.
- There are five types of power: reward power, coercive power, legitimate expert power and charismatic power.
- An organization is influenced by external and internal powers.
- Leaders must understand how power is distributed and try to enhance their own power; the most effective way of doing so is to increase others dependency on them.
- Conflicts between power holders are normal. The most frequent can occur between political authorities and operational leaders (over objectives, due to egos); splits between headquarters and divisions or subsidiaries are another area of frequent tension.
- Good leaders know to identify and concentrate on their own contribution; they know how to surround themselves with people who compensate for their shortcomings and they know how to adapt their style of leadership to situations and personnel.
- Situational leadership theory offers an interesting tool for leaders in managing flexibility according to the maturity of their personnel.
- Situational leadership can also be useful for adapting the leadership style to a new policy.

Chapter 3

Integrity Planning and Reform

Structure of this chapter

1. Introduction

- a. Definitions relevant to this chapter

2. Integrity planning and reform process

- a. Strategic assessment
 - i. Data collection
 - ii. Data analysis
- b. Strategic planning
 - i. Decision making
 - ii. Integrity plans
- c. Reform
 - i. Overview
 - ii. Change management
 - iii. Communication strategies
 - iv. Leading by example

3. Summary and key points

4. Annexes

- a. Integrity plan template
- b. Guidelines for data collection and analyses

1. Introduction

Definitions relevant to this chapter

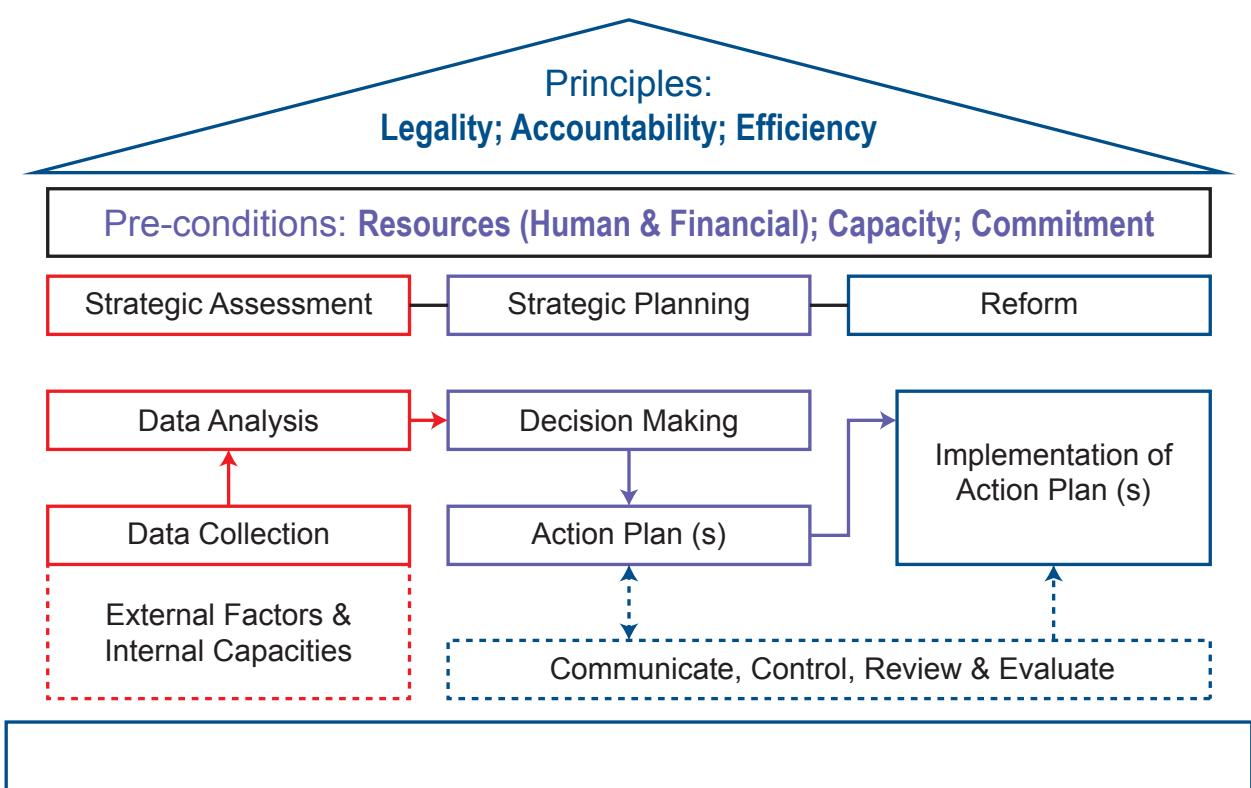
Strategic assessment is the process of determining where an organisation stands in relation to performing certain functional duties or objectives; whether those objectives remain feasible and appropriate; whether they should be changed; and the identification of necessary steps to achieve those objectives. It includes data collection and analysis processes and should take into account external factors as well as internal capacities.

Strategic planning is the process of determining a course of action or direction for an organisation (decision making). It further consists of setting a vision for reform that describes the expected state of the organisation to be reached, the plan of action to be implemented, its control, monitoring and review.

Reform refers to the process of making an improvement, especially through changing a person's or group of persons' behaviour or the structure of certain institutions or organisations (adapted from Cambridge Dictionaries). It includes the processes of implementation and managing the change, monitoring review and evaluation.

An **Integrity plan** is a tool for establishing and verifying the integrity of the organisation. It is a documented process for assessing the level of vulnerability of an organisation, its exposure to unethical and corrupt practices. It helps an organisation to assess its own integrity risks and manage them efficiently (adapted from Wikipedia). It includes a clear identification of problems or gaps and proposed solutions to address them. It should also outline the actions and resources planned to implement the solutions.

2. Integrity planning and reform process



"Reform is not an event it's a process" – in order to be successful, a reform or change must be understood as a sequential process. Strategic assessment and planning are necessary precursors of reform.

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Overarching principles and preconditions for the reform process – fundamental principles or conditions must be respected during the whole process of reform. These include legality or legitimacy to initiate and conduct the process, which means that the reform process must be regulated by internal or external written norms/rules. Accountability plays an important role throughout the process. The organisation must be subject to scrutiny by external and internal legitimate bodies. Transparency and clear communications must also be assured during the whole process. Another important principle is efficiency, which means that the organisation must do the best use of resources and deliver the results expected in the most professional manner. As for pre-conditions, it is necessary to guarantee that appropriate human and financial resources are allocated during all the phases of the process. In particular, financial means should be allocated not just for the process itself but also to sustain the new system that the reform process is introducing. The capacity to initiate and manage all phases of the process must also exist or be sought prior to the start. Lastly it is important that the necessary commitment from all stakeholders is secured at an early stage of the reform process. At a strategic level, the political support and senior management engagement and capacity are key factors for success. At a more operational level, the positive role of mid-managers is essential. Of course it is crucial that the organisation and its personnel are fully aligned with the vision of reform and are willing to support it. In this regard, it is important that appropriate communication strategies are in place to ensure organisational and individual understanding of the reform process. Failing to transparently communicate and discuss the reform process might lead to resistance to the change or lack of commitment.

The purpose of this section is not to cover all aspects related to integrity planning and reform, but rather to attempt to draw attention on some of the most important principles or best practices. These are intended to be inspirational rather than binding. PIBP recognises that there are many different approaches across the world. What is important is that the chosen approach is responsive to the legal and policy framework in place in the country and organisation which makes use of it.

Strategic Assessment

It is often said that when a problem is **well-defined it is already half-solved**. However, police organisations sometimes engage in processes of reform without properly analysing their problems and carefully considering the solutions as well as the ways to implement changes.

As police organisations and problems are unique, we recommend adequate time and resources to be allocated to the analytical process in order to allow a thorough understanding of a problem before attempting to resolve it. Similarly, when a specific need has been identified, sufficient thinking must be dedicated to carefully plan the reform process before starting its implementation.

It is recommended that the police organisation takes a holistic view in the analyses of its integrity-related problems and its integrity system. In such a process it is important to identify all stakeholders involved and we recommend a tri-dimensional approach – the organisational level (institution); the individual level (employee), and the external level (related to other institutions, general public and environment). Some aspects are clearly focused on one of the dimensions, while others are crosscutting.

Essentially, strategic assessment is comprised of two interlinked processes – data collection and data analysis. Both processes focus on external factors (environment) and internal capacities.

Data collection – includes the identification of sources of information and the process of gathering information specific to police integrity from these sources, which will later be analysed.

For more information on data collection methodology and principles please refer to the annex to this chapter and to DCAF Toolkit on Police Integrity, Chapter 9.

Data analysis – is primarily used to determine whether a problem exists and to identify its characteristics, causes and other relevant information so as to allow further decision-making on solutions and strategies to bridge the gaps or problems that might be identified between the current and desired situation.

Methodology note: There are many methods, tools or instruments that can be used for strategic assessment. For the purpose of this chapter we advise you to resort to one common type of instrument – SWOT analysis (Strengths, Weakness, Opportunities and Threats).

Another tool that is highly relevant, especially for analyses of the external environment is PESTL (Political, Economic, Social, Technological and Legal) analyses. This tool focuses on a situation analysis in which politico-legal (government stability, spending, taxation etc.), economic (inflation, interest rates, unemployment etc.), socio-cultural (demographics, education, income distribution etc.) and technological (knowledge generation, conversion of discoveries into products, rates of obsolescence etc.) factors are examined to chart an organisation's long-term plans.

For more on SWOT and PESTL analyses and other similar instruments, please refer to the annex to this chapter and to the DCAF Toolkit on Police Integrity, Chapter 9.

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Strategic planning

In simple terms the process of strategic planning refers to decision making and setting a vision for the reform and outlining a plan of actions to fulfil that vision. Furthermore it includes determining a course of action or direction and making decisions on allocating resources to implement, monitor, review and evaluate the reform process.

Decision making

If this process is to be initiated, a decision has to be brought forward to acknowledge that problems exist and what needs to be done to address them. It is furthermore necessary to decide on the path to take and to determine allocations of human and financial resources for the reform process. In a general context, the next steps involve vision setting and actions planning.

Vision setting – in the broad sense, setting the vision of reform indicates **where to go** – what the end in mind is. It defines the most favourable future scenario by means of implementing the reform.

Action plan – is the process as well as the product of clearly identifying **what** needs to be done, by **when** tasks should be accomplished and above all **who** is responsible for the implementation, monitoring, review and evaluation of the reform process. To the extent possible, it is important to specify the person/rank/position responsible for the implementation of the tasks. If the latter is not possible, the minimum presented in the plan should be the organisational unit that is responsible. Whenever relevant or necessary for a specific activity or task, the action plan should also include the financial and material resources allocated for the execution of the activity/task. What is important to note is that in the context of integrity reform, at the least, the following planning areas must be addressed: actions to attempt to solve the problem; clear indicators of success and resources to be used. It is also important to plan other parallel and interlinked phases. These include change management, communications, review and evaluation strategies and plans.

There are many types and models of action plans. It will be up to the organisations to develop the most suitable plan for their respective needs. The most common types in the context of this manual are the integrity plans.

Integrity plans

Integrity plans are an example of an action plan. In the context of PIBP, they are tailored in accordance with the country and its specific needs. The plans are developed in cooperation with local interlocutors to ensure long-term sustainability. As regards the integrity building process, it has been proven that the process of developing the plans is of equal importance as the end result (the integrity plan). By engaging local actors in the plan development phase, the necessary understanding and skills are strengthened throughout the process, which contributes to long-term capacity and permanent local ownership.

The format of the plans is flexible and will depend on the local stakeholder's situation and personal choices. Nevertheless, we have included as annex to this chapter a template of an integrity plan that can be used.

Reform

Overview

As already mentioned, reform is not an event, it is a process. Police integrity reforms are often complex as they require the coordination and involvement of multiple stakeholders, both internally and externally. In addition, they involve the implementation of multiple tasks, sometimes over long periods of time. It is therefore important that proper models or systems are put in place to support all stages of the reform process including strategic assessment and planning. In this section we will highlight some principles or best practices that might be considered at the outset of the reform processes.

Setting up a Strategic Development and Assessment Unit/Department

Modern police organisations have already established these units. If this is not the case, it is highly recommended that the first step in considering a reform process is the creation of this capacity. These units must be properly staffed and provided with adequate resources. They must have operational and decision making capacity.

Any reform process requires a core group that will act as the engine for the implementation of the reforms. This group would be responsible for the coordination of strategies and initiatives.

Police reform is a process rather than an end product, though the goals set for reform should continue to guide the process followed. A unit of this kind can play a role in monitoring progress, by obtaining feedback data from various strategies adopted, and thus informing any decisions about adapting or replacing those strategies according to how well those strategies are working (source: DCAF Toolkit on Police Integrity).

Chapter 3: Integrity Planning and Reform

Change management

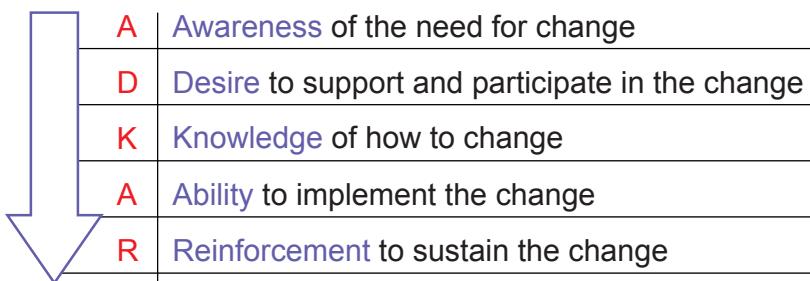
Change management is a systematic approach dealing with change, both from the perspective of an organisation and on the individual level (source: <http://searchcio.techtarget.com/definition/change-management>).

It is highly recommended that a model or a system of change management be adopted in order to guarantee the success of the reform process. A structured approach will help steer the process, improve coordination and assist in sequencing the activities and the tasks.

There are many models and strategies to manage the change process. In DCAF's Toolkit on Police Integrity the suggested model is Kurt Lewin's model, known as "Unfreezing – Change – Refreezing".

For more information on this model you may refer to DCAF Toolkit on Police Integrity, Chapter 9, page 313, or to the following link: http://www.mindtools.com/pages/article/newPPM_94.htm

Another widely used model to manage change is the ADKAR Model.



For more information on this model you may refer to the following link:

<http://www.change-management.com/tutorial-adkar-Overview.htm>

DCAF Toolkit on Police Integrity, Chapter 9, also provides a checklist of issues to consider in effective change management.

Communications strategies

Communications strategies are designed to help you and your organisation communicate effectively and meet core organisational objectives. Most police reform processes fail because a communication strategy was non-existent or deficiently used.

Effective internal and external communications strategies and plans are therefore vital to the success of a reform process. Consider this important principle in your change management process.

For more information on effective communications strategies, you may refer to the DCAF Toolkit on Police Integrity, Chapter 9, or to the following link:

<http://knowhownonprofit.org/campaigns/communications/effective-communications-1/communications-strategy>

Leading by example

As already mentioned above, leadership and positive role modeling by leaders are essential principles that must be present in all circumstances of police work. Even though they relate to all police officials, they are essential to those that occupy managerial or supervisory functions.

It is/should be always expected that managers and supervisors at all levels fully endorse the reform process, are committed to performing monitoring and control functions in this regard, and serve as an inspiration to all other officials through positive role modelling.

Chapter 3: Integrity Planning and Reform

The absence of role modelling and commitment from managers is considered as one of common reasons for failure of reform processes.

For more information on change management please visit the following websites:

<http://www.change-management.com/tutorial-defining-change-management.htm>

<http://www.change-management-coach.com/adkar.html>

3. Summary and key points

- ▶ Reform is about change. In order to be successful, a reform should be understood as a sequential process leading to change.
- ▶ The principles of legitimacy, accountability and efficiency must guide the whole process of reform.
- ▶ In addition, in order for a reform to be successful certain preconditions need to be satisfied: appropriate human and financial resources should be allocated during all phases of the process; the capacity to initiate and manage the process should exist; commitment on behalf of relevant stakeholders must be secured at an early stage of the reform process.
- ▶ Every reform process should start with a strategic assessment in order to obtain a thorough understanding of the problem before attempting to resolve it.
- ▶ Essentially, strategic assessment is comprised of two interlinked processes – data collection and data analysis.
- ▶ It is recommended that the police organisation takes a holistic view in the analysis of its integrity-related problems and its integrity system, meaning that the individual, the organisational and the external level should all be assessed.
- ▶ Common types of instruments for conducting strategic assessments are SWOT and PESTL analyses.
- ▶ The process of strategic planning refers to decision making and setting a vision for the reform, as well as outlining plan(s) of actions to fulfil that vision.
- ▶ Vision setting defines the most favourable and feasible scenario by means of implementing the reform strategy.
- ▶ Action plan is the process as well as the product of clearly identifying what needs to be done, by when tasks should be accomplished and who is responsible for the implementation, monitoring, review and evaluation of the reform process.
- ▶ Integrity plans are an example of such an action plan. Involvement of and cooperation with local interlocutors during the development phase of an integrity plan is of vital importance as it ensures long-term sustainability and local ownership of the process and end results.
- ▶ Reforms are complex because they require the coordination and involvement of multiple stakeholders both internally and externally, and the implementation of multiple tasks, sometimes, over long periods of time.
- ▶ Due to this complexity, it is crucial that appropriate management systems are put in place to support all stages of the reform process.
- ▶ Strategic development and an assessment unit/department which will coordinate the strategies and initiatives undertaken can contribute to the success of reform process.
- ▶ A pre-selected model or system of change management should also be adopted.
- ▶ Communication strategies are a key element in all process of managing the change.
- ▶ Leadership and positive role modelling by managers and supervisors of all levels are a further guarantee of the success of the process of reform.

4. Annexes

- a. Integrity plan template
- b. Guidelines for data collection and analysis

1. Introduction

► Purpose

Include a brief description of the aim of this document.

► Definitions and concepts

If necessary include here key concepts or definitions that can facilitate understanding of the context of the plan.

► Methodology:

- Data collection

Describe the process of data collection – how the data was collected; when; who was involved; what methods were used. See *annex 2 for guidelines on data collection and analysis*.

- Data analysis

Describe the process of data analysis – how the data was analysed; when; who was involved; what methods were used. See *annex 2 for guidelines on data collection and analysis*.

2. Key findings (problems or gaps)

This section should identify the key findings resulting from data analysis. It should outline the **main problems** that this plan will attempt to address.

1. ...
2. ...

3. Current capacities (internal/organisational (strengths and weaknesses))

This section should outline the current **internal capacities** of the organisation that are relevant for **understanding and addressing the problem**. **Internal strengths** and **weaknesses** or **vulnerabilities** are identified for that purpose.

Current capacities include, inter alia, the relevant legal and regulatory framework, the available financial and material resources, human resources, training and communication capacities, internal control structures and relevant facilities and equipment to perform police tasks in a manner aligned with integrity expectations. Elements such as organisational leadership and culture also fall under this category.

Risk assessment identifies organisational units and personnel that are more vulnerable to integrity violations. These findings are extremely important in order to determine the priority of the intervention(s) proposed in the plan. For example, if training on issues related to integrity has been identified as an objective, it is important to know who should be trained first. Evidently, it should be the units and personnel that are more at risk of potential integrity breaches.

4. Other influencing factors (external conditions (opportunities and threats))

This section should outline the **external factors**, i.e. external to the police organisation mechanisms and conditions that are relevant for **understanding and addressing the problem**. These factors can be viewed as beneficial opportunities as well as potential threats (risks).

External factors can be for instance political, administrative, economic or legal, and influence (increase or reduce) the risks to integrity within the police. They include, inter alia, political pressures and political commitment to tackle integrity-related problems (both wider problems and issues within the police); the effectiveness of the justice system to address police misconduct; the existence and effectiveness of external oversight mechanisms; the existence of independent and transparent media that transmit information relevant to police integrity and are in a position to scrutinise police actions and decisions; activities and possibilities of consultation with civil society, non-governmental or international institutions on police integrity; the public's perceptions on police and public attitudes towards police misconduct; wider socio-economic conditions that may influence engaging or abstaining from conduct that violates integrity standards.

1. ...
2. ...

5. Possible causes of the problems

This section should include a list and a brief analysis of the **causes** that have **contributed to** the listed **problems**.

1. ...
2. ...

6. Proposed solutions and indicators of success

This section should present a list of **solutions** to the problem and **indicators** of success.

Proposed solutions

These solutions should be regarded as the objectives to be achieved by means of implementing the integrity plan. As a minimum, for every problem that has already been listed under Section II (Key Findings), there should be one corresponding solution.

Indicators of success

The indicators of success are useful for measuring whether the objectives have been achieved. They should be complemented by their respective sources of verification (e.g. internal statistics, perception surveys etc.).

1. Objective 1

- a) Indicator 1
 - i) verification source for indicator 1
- b) Indicator 2
 - ii) verification source for indicator 2

2. Objective 2

...

7. Implementing strategy

This section must include a description on how the proposed solutions (objectives) are going to be executed. It should provide a global overview of the **process of implementation** including **monitoring, review and evaluation**. It should also state the **human and financial resources** that will be involved (organisational units and budget).

8. Plan of actions

The plan of actions (or action plan) should outline the **objectives** and their **conditions of success** and must be more specific in terms of actions, time and resources to be used to achieve the objectives. It is important to make a thorough planning considering **all tasks and subtasks** as well as assign concretely **who will be responsible** of performing each task. In addition, the **financial and material resources** required to successfully accomplish each task should be listed whenever necessary. The **timeframe or deadline** for execution of tasks and subtasks should also be indicated. Lastly, a part could be dedicated to **assumptions** or the external conditions that need to be present in order to successfully execute the tasks and support the achievement of the objectives.

There are many ways to develop and present a plan of actions. Below we provide two basic samples that can be used for reference.

Objective	Task(s)	Who is responsible	Timeframe or deadline	Resources needed			
Objective	Task(s)	Success indicators	Sources of verification	Who is responsible	Timeframe or deadline	Resources needed	Assumption

9. Annexes

This section should include complementary information, such as relevant documents and other information that was used in developing the integrity plan – e.g. statistics, findings, charts, templates used for interviews, sample of questionnaires used for surveys.

Annex 2 to Chapter 3: Guidelines for Data Collection and Analysis

This annex aims at providing a brief overview of data collection and analysis as the first steps in developing an integrity plan. It is divided into two parts. The first part (data collection) provides guidance on the scope of the data, data selection criteria and preconditions, data sources and methods of data collection. The second part (data analysis) focuses on data analysis methods and tools.

Part I. Data collection

For the purposes of this annex, data collection can be defined as the systematic process of gathering information which can be used in order to gain an, as-much-as possible, accurate image of a situation or problem.

Gathering of information or data collection must, thus, be the initial step undertaken when drafting an integrity plan. Indeed, it is evident that without relevant data, no issues can be identified and no solutions can be proposed.

A. Guiding principles on data collection

Before the data collection begins, a clear direction should be set as to what the purpose of the data collection is, what kind of information will be collected, what qualities it should have, who can provide it, where it can be found, how, by whom and within which time frame the collection should be carried out. Lack of a clear direction can be detrimental, not only to the process of data collection but also to data analysis and to the integrity plan as a whole. Indicatively, it can lead to collection of unnecessary or useless data, waste of material and human resources, prolongation of the process of developing the integrity plan due to waste of time in collecting data, poor analysis due to bad data quality or inadequate or non-significant information contained in the data and poor decision-making on solutions due to poor data analysis.

The table below gives an overview on issues to be decided before the data collection process begins:

WHY	Purposes	See: • B. Scope of data
WHAT	Kind of information to be collected/priorities	See: • C. Data collection criteria • E. Data quality
WHO	Data sources	See: • F. Data sources
WHERE	Areas of collection	For indications on areas of collection, refer to Chapter 3 of DCAF Toolkit on Police Integrity, Section 3.5
BY WHOM	Resources	See: • D. Preconditions for data collection
WHEN	Time frame of collection	See: • D. Preconditions for data collection
HOW	Preconditions for data collection; Methods of data collection	See: • D. Preconditions for data collection • F. Data collection methods

(Adapted from: Aepli Pierre, Olivier Ribaux, and Everett Summerfield. *Decision Making in Policing: Operations and Management*. Lausanne: EPLFL Press, 2011:79.)

B. Scope of the data

The aim is to obtain the most accurate image of the integrity state of the individual police officers, the police organisation and the internal and external conditions that are likely to have an influence on police integrity.

C. Data collection criteria

Having specified that the aim is to access the police integrity situation and the internal and external factors affecting the latter, it is important to specify early on what the particular characteristics of the situation and of the factors that we want to collect information on are (what is necessary to know).

In deciding what is necessary to know, three dimensions must be considered: a) the individual; b) the organisational; and c) the external dimension.

Annex 2 to Chapter 3: Guidelines for Data Collection and Analysis

The table below lists, in a non-exhaustive manner, information that is necessary to know in relation to the three dimensions:

Individual	Organisational	External
<ul style="list-style-type: none"> ▶ Do police officers think and behave with integrity? ▶ What are the forms of misconduct committed by police officers? What are their levels of prevalence and incidence? ▶ Do police officers consider misconduct as a serious issue? ▶ Do police officers consider training, regulations, controls, career advancement system etc. as minimising the risks of police misconduct? ▶ Do police officers and managers feel supported in their efforts to foster integrity within the police organisation? ▶ Are police officers willing to report misconduct by their colleagues and their superiors? 	<ul style="list-style-type: none"> ▶ What units of the organisation are most at risk? ▶ Are the organisational capacities: a) existing; b) effective; c) efficient? ▶ Are the current capacities fostering or hindering police integrity? <p><u>CAPACITIES TO BE EXAMINED</u></p> <p><i>Legal and regulatory framework</i> (legislation; regulations; Code of Ethics/Code of Conduct)</p> <p><i>Human Resources Management and Development</i> (recruitment; career system; working conditions; support mechanisms; reward system; gender and non-discrimination policies)</p> <p><i>Training</i> (training capacity; training strategies, curricula, training needs assessments; frequency of training)</p> <p><i>Internal control</i> (mechanisms of control (preventive, reactive); disciplinary procedures)</p> <p><i>Resources</i> (financial - budget; human resources)</p> <p><i>Facilities and equipment</i> (e.g. training centers, operational equipment etc.)</p> <p><i>Organisational Leadership and Culture</i></p>	<ul style="list-style-type: none"> ▶ What are the external conditions that are related to police integrity? ▶ Are the external conditions fostering or hindering police integrity? ▶ Who are the external stakeholders that influence police integrity? Are they functional and supportive? <p><u>FACTORS TO BE EXAMINED</u></p> <p>Political pressures and commitment (e.g. influence on police decision-making; will to tackle integrity issues)</p> <p>Effectiveness of the judicial system</p> <p>Existence and effectiveness of external oversight bodies and mechanisms (e.g. Ombuds-bodies, ad-hoc committees, civil society groups, NGO's)</p> <p>Influence of external stakeholders to the policies of the police organisation</p> <p>Local culture (e.g. tolerance with regard to police misconduct; citizens' views on the police and their levels of integrity)</p> <p>Regulation and policies of the private sector (relevant to certain types of police misconduct)</p> <p>Degree of transparency and independence of the media</p> <p>Socio-economic conditions</p>

Please refer to Chapter 3 of DCAF Toolkit on Police Integrity, Section 3.5 which also provides indication on what information is necessary to know for a number of areas.

D. Preconditions to data collection

Before the data collection process begins there are certain preconditions which need to be satisfied:

Legality: The data collection process needs to be supported or prescribed in laws or regulations. Depending on the nature, scope and intended use of the data to be gathered, a specific law or regulation might need to be developed in addition to the existing general legal and regulatory framework on access to information and data protection.

Accessibility: In cases where access to data is subject to restrictions owing to their nature (e.g. sensitivity, content), care should be taken that all the required authorisations for access and use are obtained in advance.

Anonymity, confidentiality and safe environment for information sharing: When individuals are envisaged as sources of data, encouragement to give information as well as reassurance might be necessary due to several reasons (e.g. reluctance, fear of potential negative consequences). The conditions of anonymity, confidentiality and a safe environment for information sharing must be ensured and respected by the person who is responsible for the data collection.

Resources: Before deciding on the data to be collected and analysed, the costs in terms of human, material and financial resources must be examined. The data to be privileged are those that can be collected at a reasonable cost of resources and in a timely manner. In order to do so, the persons responsible for data collection, the material resources necessary as well as the time frame for collection should be defined in advance following a needs assessment to this effect.

Annex 2 to Chapter 3: Guidelines for Data Collection and Analysis

E. Data quality

It should be ensured that the data is reliable and contain useful and significant information for the purposes of developing the integrity plan. That means that to the extent possible the data must correspond to the current reality (accurate; updated) and be unbiased.

The following table (4x4 system) provides insight on how to evaluate whether the data collected is accurate and reliable, on the basis of the accuracy of the information contained therein and the reliability of their sources:

		Evaluation on information			
		1 - Accuracy is not in doubt	2 - Personal experience by the source	3 - Indirect source but corroborated by other information	4 - Indirect and not corroborated
Evaluation of the source	A	A1	A2	A3	A4
	No doubt				
	B	B1	B2	B3	B4
	Source proved to be reliable in most instances				
	C	C1	C2	C3	C4
	Source proved to be unreliable in most instances				
	X	X1	X2	X3	X4
	Reliability cannot be assessed				

(Original source: Aepli Pierre, Olivier Ribaux, and Everett Summerfield. *Decision Making in Policing: Operations and Management*. Lausanne: EPLFL Press, 2011:31.)

The data of the highest quality are those that are evaluated as A1, followed by A2, B1 and B2. It becomes evident that as we progress to the right bottom of the table the data quality declines.

F. Methods of collection and sources of data

The table below outlines potential sources and methods for data collection:

Data Collection Methods	Data Sources
Perceptions surveys	Police officers, police managers, citizens
Interviews	Police officers, police managers, citizens, other external stakeholders
Documentation review	Official reports, surveys conducted by other national or international organisations, NGO's or Academia, information reported in the media (paper and electronic) and social networks, legislation, regulations, policies (at a national level and of the police organisation)
Statistics	Internal police statistics on misconduct, citizens' complaints data, disciplinary procedures data, judicial data on police misconduct that constitutes criminal behavior, data on complaints provided by external oversight bodies
Observation	Direct observation of police officers' behaviour, visualisation of behaviour through images and videos collected by media, internal control mechanisms, bystanders to incidents
Debriefing of real cases	Sessions of information sharing between police officials on real experiences of behaviours and actions in breach of police integrity.

Part II. Data analysis

For the purposes of this annex, data analysis can be defined as the systematic processing of data in order to gain an in-depth understanding of a problem, including its causes and the factors that contribute to its reduction or increase, which can be used for the development of solutions addressing the problem.

A. Scope of analysis

Provided that data on the integrity situation of the individual police officers, the police organisation and the internal and external conditions that are likely to have an influence on police integrity are collected, they have to be processed (or analysed) in order to:

- ▶ Define and analyse the most important problems relating to police integrity (and their specific aspects).
- ▶ List and analyse the relevance of current internal capacities to these problems and their aptitude to address the problems.
- ▶ List and analyse the external conditions that increase and/or reduce the risks of occurrence of the problems.
- ▶ Map the internal and external to the police stakeholders that can support the process of reform in addressing the problems.
- ▶ List and analyse the causes of integrity related problems.

Part III. Methods, models and instruments

There are different tools that can be used in order to proceed to a data collection and analysis. A non-exhaustive list is presented below. This list is inspired by DCAF's Toolkit on Police Integrity:

SWOT analysis (Strengths, Weaknesses, Opportunities, Threats): This model aims at identifying how internal and external factors (can) influence a situation or a problem through the mapping and analysis of strengths, weaknesses, opportunities and threats. The two first components (i.e. strengths and weaknesses) refer to internal factors. *Strengths* are positive elements, such as capacities, resources, measures, that are already in place and which affect the current situation or problem in a beneficial way. On the contrary, *weaknesses* are negative elements, such as gaps, inexistence or inefficiency of capacities and resources or other vulnerabilities, which contribute to the persistence of the problem. The two last components (opportunities and threats) refer to external factors. *Opportunities* are positive external conditions, such as external support and mobilisation of external actors, which can play a role in addressing the problem. *Threats* are negative external conditions, such as lack of support, external resistance or pressure, which can pose risks to effectively addressing the problem. In the context of an Integrity Plan, strengths and weaknesses correspond to the positive and negative aspects of the police organisation, which ensure or undermine integrity. Similarly, opportunities and threats are the aspects external to the police organisation that play a role in reinforcing or undermining police integrity. The assessment of strengths, weaknesses, opportunities and threats helps determine which are the most effective and efficient solutions for tackling integrity related problems.

SARA model (Scanning, Analysis, Response, Assessment): The SARA model is a problem solving tool which guides the user to reach an understanding of a specific problem as well as develop strategic solutions tailored to that problem. It evolves in four stages. The first stage, *scanning*, involves data gathering from different sources, such as surveys, internal statistics, official documents, interviews with stakeholders, in order to identify whether a problem exists, what the extent of the problem is and which specific characteristics or aspects of the problem merit particular attention. The second stage, *analysis*, involves the processing of the data gathered in order to develop a more in-depth understanding of the problem and its different aspects, study its evolution and identify resources and actors that can be used when developing solutions to the problem. The third stage, *response*, involves the development of responses or solutions specific to the problem (objectives to be achieved in order to address the problem). Indicatively, these solutions can aim at reducing or eliminating the problem; reducing or eliminating a specific aspect of the problem; reducing or eliminating harms or threats deriving from the problem; preventing the reoccurrence of the problem. Finally, the last stage, *assessment*, corresponds to the evaluation of the effectiveness of the proposed solutions. In cases where it is determined that the solutions have had none or partial effect, the assessment stage also includes the adjustment of responses with the aim to increase their impact on the problem and thus, improve their effectiveness. The SARA methodology roughly corresponds to the integrity plan template proposed and can, thus, be helpful in developing your plan.

For more information on the SARA model refer to: <http://www.popcenter.org/about/?p=sara>

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Gap analysis (Current state, Gaps, Desired state): In the integrity plan context, a gap analysis should aim at identifying integrity related problems (current state), at addressing these problems at the individual, organisational and external level (gaps) and at finding potential solutions to bridge these gaps and address the problems (desired state).

For a gap analysis template refer to DCAF Toolkit on Police Integrity, Chapter 9, Section 3.1.3.2.

Force field analysis: Provided that an integrity problem has already been diagnosed, this type of analysis aims at identifying ways for strengthening the forces that contribute to the desired change of the current state (i.e. reduction of the problem) and minimising the forces which resist this change. In general terms, this is achieved following a three steps process: initially, the positive and negative factors or forces that influence the problem are identified and listed. Subsequently, these forces are categorised or *ranked* according to their degree of influence (strength) on the problem. Following this categorisation, possibilities of reducing the strength of the negative forces and increasing the strength of the positive forces are examined.

PESTL analysis (Political, Economic, Social, Technological, Legal): The PESTL analysis is an analysis of the surrounding environment which aims at mapping the factors external to the police that can influence the challenges or problems that a police organisation is confronted with, such as integrity problems, the key trends of these factors, and their positive and negative consequences defined as opportunities and threats respectively. The external factors are separated and listed in five categories, namely political (e.g. government spending, political interests and pressures), economic (e.g. inflation, unemployment, income inequality, economic interests and pressures of different groups, parallel economy), social (ethnic and religious diversity, education, local culture), technological (technological developments or access to systems, products or services that create opportunities for integrity breaches) and legal factors (in particular gaps or inconsistencies in the legal framework that is relevant to integrity in general). In an integrity plan context, only the factors relevant to police integrity violations from each category should be presented. Following this categorisation, the integrity trends, tendencies or evolutions in these factors are identified. Finally, their positive consequences as regards integrity or *opportunities*, as well as their negative consequences or threats are listed. The police organisation can then capitalise on the opportunities and address the threats through some of the solutions proposed in the integrity plan.

For a PESTL analysis template refer to the DCAF Toolkit on Police Integrity, Chapter 3, Section 3.1.2.

Influence mapping: The purpose of this tool is to visually display the network of the stakeholders that can influence decision-making as regards the identified problem(s), as well as the relative influence of each stakeholder. Stakeholders can consist of individuals (e.g. police managers, Ministry of Interior employees), groups of individuals (e.g. police officers' Unions), the police organisation and external stakeholders (e.g. external oversight bodies, media). In the integrity plan context, this technique can be useful in identifying actors that can play a role in addressing problems or in implementing the proposed solutions to the problems, as well as in deciding which solutions are the most suitable in order to achieve the desired change of state.

Risk assessment matrix: This matrix can be a useful tool in visually displaying and determining the impact and frequency of risks deriving from integrity problems. The matrix should include the risk, its source (the integrity problem from which the risk derives), the actors or sectors which are exposed to this risk (e.g. police officers, a police unit, sector or the police organisation as a whole, the Ministry of Interior, the community), its specific impact (negative consequences or harms caused), its probability of (re)occurrence (high, medium, low) and finally, the severity of the risk (high, medium, low).

For a risk matrix template refer to DCAF Toolkit on Police Integrity, Chapter 9, Section 3.1.2.

Fraud triangle (Pressures, Opportunities, Rationalization): The fraud triangle is a model that can be useful in order to explain certain types of police misconduct involving fraudulent behaviour. According to this model, in order to materialise a fraudulent conduct, three factors must simultaneously converge: financial or other pressure which motivates an individual to commit misconduct, an opportunity to commit it (e.g. close proximity to financial assets, lack of control), and rationalisation of the conduct by the individual (e.g. being caught in bad circumstances, lack of alternatives, invoking a higher cause "justifying" misconduct).

Glossary

Accountability – The principle according to which public institutions and their employees are responsible for their decisions, actions and omissions. They can formally be called to account for their actions by a range of mechanisms (e.g. by parliamentary oversight, review and monitoring by independent oversight bodies such as ombuds-institutions, elections, disciplinary proceedings etc.).

Action plan – In the context of a reform process, an action plan is the process as well as the product of clearly identifying what needs to be done, by when tasks should be accomplished, and above all who is responsible for the implementation, monitoring, review and evaluation of the reform process.

Adult Learning – Theories, concepts, models or strategies that focus on how adults learn.

Attitudes – Positive or negative evaluations of people, objects, events, activities, ideas, or of anything in the environment. Attitudes can be conscious or unconscious.

Balance of powers – In a system of democratic governance, three powers or branches exist – the legislative, the executive and the judicial. Each of the three branches has a distinct role and has defined abilities to check the powers of the other branches. They exercise the power vested in them by the people, for the good of the people.

Basic (initial) training – Training received by new police recruits in order to become familiar with the organisations' integrity principles. This training should emphasise how important integrity is for the organisation and develop positive attitudes and motivations.

Blended Learning – Mix of different strategies combined to maximise the learning's effectiveness. This often includes the use of self-pace learning (like E-learning) combined with other forms of face-to-face training.

Bribery – Offering, or receiving of something of value in order to influence the way a public official exercises his/her duties. It can involve money, gifts, services, privileges or other things that are considered valuable by the giver and the receiver.

Capacity building – The ability of individuals, organisations and societies to perform functions, solve problems and set and achieve objectives in a sustainable manner (UNDP definition).

Change management – A structured approach to transitioning individuals, teams and organisations from a current state to a desired future state as a result of internally determined or externally imposed strategic factors. In short, it is a process undertaken by the organisation, following strategic assessment and planning, to bring about the changes identified as necessary in the assessment and planning stages (DCAF Toolkit on Police Integrity definition).

Code of conduct – The values and principles of the culture and subcultures of an organisation are translated into norms and behaviour through codes of conduct. A code of conduct is a written set of rules which prescribes a comprehensive set of technical, legal and moral standards to be observed by all police officials and lists all conduct that is prohibited. Other codes, such as the code of ethics, the code of deontology and the code of discipline can be included in the code of conduct (adapted from the DCAF Toolkit on Police Integrity).

Code of ethics – Statement of the principles on which the organisation's mission, the values underlying its operations and its general principles of management are based. It is a guide to how police officers (on- and off-duty) are expected to conduct themselves, act and behave, mutually and towards their environment. It provides an answer to the question: 'How can we act in the best possible way?' In regard to corruption, the code of ethics underlines the importance for a police service to act with integrity (DCAF Toolkit on Police Integrity definition).

Code of deontology – A code of deontology governs the exercise of a profession (deontology) or an activity in order to guarantee respect for ethics. It is a set of rights and duties governing a profession, the behaviour of those who practice it and the relationships between these people and their clients or the public (DCAF Toolkit on Police Integrity definition).

Code of Discipline – A code of discipline is a set of rules outlining types of police behaviours that are not essentially criminal behaviours but are considered unacceptable, and specifying the types of punishments that can be administered to those found to have violated the code (adapted from DCAF Police Integrity Toolkit).

Continuous (in-service) training – Training destined to police officials which takes place after basic training and the probationary period are completed. Continuous (in-service training) on integrity is essential because police officials are constantly faced with ethical and integrity issues that need to be addressed in a timely manner. Contrary to basic/induction training for new police officials, in-service training opportunities must capitalise on the concrete experiences of the officers.

Corruption – The abuse of public office for private gain, whether material or immaterial. Corruption is one type of police misconduct.

Glossary

Data analysis – *The systematic processing of data in order to gain an in-depth understanding of a problem, including its causes and the factors that contribute to its reduction or increase, which can be used for the development of solutions addressing the problem.*

Data collection – *The systematic process of gathering information which can be used in order to gain a highly accurate image of a situation or problem.*

Democracy – *A system of governance in which power ultimately resides in the people, typically through elected representatives. Democracies are based on the rule of law, equal rights, and balance of powers.*

Democratic policing principles – *Principles of modern policing which guide police officers in properly exercising their functions or roles in a democratic society. They include upholding the rule of law, public service, integrity, accountability, transparency, representativeness, effectiveness and efficiency.*

Detective control – *Detective control includes policies and mechanisms which attempt to discourage malpractice and corruption through an increased emphasis on detection and punishment of wrongdoing. Investigating suspected misconduct is one form of detective control, and measures such as targeted integrity testing could be used in investigations of suspected wrongdoing (DCAF Toolkit on Police Integrity definition).*

Effectiveness – *The principle of accomplishing predefined goals. As a democratic policing principle, effectiveness signifies that a police service is able to perform its core functions or roles and accomplish its goals.*

Efficiency – *The principle of optimal allocation of resources so as to effectively accomplish one's goals. As a democratic policing principle, effectiveness signifies that police resources (time, budget, human, and material resources) are optimally allocated for the performance of police functions and achievement of police goals.*

Ethical dilemma – *A difficult situation where a person has to choose among more than one possible courses of action, where none of which is perfect and each of them is dictated by different elements that contradict or oppose each other, such as conflicting rules, values, principles or roles.*

Ethics – *A set of values and norms commonly accepted in a society or profession as right (i.e. police ethics).*

External oversight – *Is concerned with the review and monitoring of police behaviour by institutions that are outside the police. It is aimed at preventing and identifying misconduct so as to improve the service the police provide to the public. Oversight generally consists of ex-post review, but also involves ongoing monitoring (DCAF Toolkit on Police Integrity definition).*

Facilitation – *A philosophy or technique used in training delivery to maximise the learning opportunities of adult learners.*

Gender – *The social roles, characteristics, behaviours and activities that are assigned within a particular socio-cultural context on the basis of sex. Gender roles, like society and culture, are changeable over time and vary within and across contexts. This means gender roles are not the same in all socio-cultural contexts, and within one socio-cultural context they will change and develop in relation to the changes experienced by that society.*

Gender-based violence – *An act of violence which is carried out based on the victim's gender.*

Gender equality – *The equal right of women and men to the same opportunities and resources, irrespective of their gender or the sex with which they were born.*

Gender mainstreaming – *The process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality (ECOSOC Agreed Conclusions, 1997/2 definition).*

Gratuities – *Something of small value that is given voluntarily to encourage or reward the performance of a service by a public official. Depending on the legal framework of a country, gratuities are considered as a form of corruption.*

Human Resources Management (HRM) – *A strategic and comprehensive approach to managing the workplace culture and environment and dealing with people's relations with the organisation. It is a function within an organisation that focuses on work force planning, recruitment, development, management, and guidance of the employees of the organisation. HRM also consists of performance management, including compensation and benefits as well as disciplinary issues.*

Glossary

Human rights – Universal values (e.g. protection of life, personal freedom, freedom of expression, privacy, equality) which are recognised as fundamental for the well-being and development of all people. Everyone has human rights, regardless of their nationality, origin, race, sex, religion or other status. They form part of national and international law.

Integrity – The principle of consistently behaving in accordance with ethical values. The principle of integrity is relevant both to individuals and to organisations. Individual integrity is the moral strength of aligning behaviour with ethical values. Organisational integrity exists when an organisation operates in line with a set of clearly defined ethical values.

Integrity testing – Operations meant to identify possible corrupt activities. Integrity tests are simulated events that place a police officer unwittingly in a monitored situation with an opportunity for unethical decision making. Integrity tests are a useful means in preventing and detecting police corruption. They can be either random or targeted, and can form part of the police organisation's internal control system. Targeted integrity tests could also be an effective method to investigate police corruption (DCAF Toolkit on Police Integrity definition).

Internal control – The function of the police or the ministry of interior aimed at ensuring that the police service operates effectively, efficiently and with integrity. It includes executive functions and rests within the police chain of command. Internal control mechanisms aim at preventing, detecting and reacting to misconduct.

Integrity plan – A tool for establishing and verifying the integrity of the organisation. It is a documented process for assessing the level of vulnerability of an organisation and its exposure to unethical and corruption practices. It helps an organisation to assess its own integrity risks and manage them efficiently. It includes a clear identification of problems or gaps and proposed solutions to address them. It should also outline the actions and resources planned to implement the solutions.

Leadership – A principle or value that should be embraced by all police officials regardless of their rank or functions. Leadership is often linked with the responsibilities of a manager or supervisor. However, for PIBP, leadership is considered essential for all staff, even for police officers at the very beginning of their career. The term “leading by example” is relevant in all contexts of police work. For example, a police officer should act as a leader and positive role model to his new colleagues or in the community he/she serves.

Learning – Assimilation of new knowledge that leads to a change in behaviour or attitude.

Legitimacy – The democratic governance principle according to which public authorities, such as the police, should be perceived by the citizens as representatives of the public will.

Mission – It indicates how the organisation can achieve its vision. The mission is defined in a mission statement which explains in brief processes and courses of action that will guide the organisation into achieving its vision.

Non-discrimination – A principle according to which all people should be treated fairly, without prejudice or stereotypes. In other words, non-discrimination means treating people who are in a similar situation equally, unless there are objective and reasonable justifications for differential treatment.

Ombudsman – An official appointed to investigate individual complaints or bureaucratic problems especially as related to public officials (DCAF Toolkit on Police Integrity definition).

Police – A civil force of a state responsible for prevention and detection of crime and maintenance of public order. The term police, therefore, includes all law enforcement agencies: national, local and specific services (e.g. traffic police, financial police etc.) as well as gendarmerie-like constabulary forces, that exercise police powers, particularly the power to arrest and detain (DCAF Toolkit on Police Integrity & Gender and SSR Toolkit definition).

Police accountability – The democratic policing principle of holding individual police officials or police organisations responsible for fulfilling their obligations.

Police discretion (or discretionary powers) – The power granted to police officers to use their personal judgement in order to take decisions when applying the law (see also Annex to module 5).

Police crime – Violations of national or international criminal law committed by police employees on- or off-duty.

Police code of silence – The unwritten rule among police employees to refrain from reporting on unethical, unprofessional or criminal behaviour of their colleagues or superiors.

Glossary

Police culture – The values and standards that affect behaviour patterns and work practices, as they are applied by the police officers. All cultures have subdivisions (subcultures) and police services are no different. There are differences between dominant values and attitudes – the culture – of homicide detectives and traffic police, and between uniformed and non-uniformed personnel. There is also often tension between national and local police services. These differences in values can manifest themselves in different behaviour among various police subcultures (DCAF Toolkit on Police Integrity definition).

Police excessive use of force – When a police officer responds to a situation with an amount of physical force that is neither proportional to nor necessary to the circumstances in order to carry out his/her duties safely and efficiently.

Police integrity – In the policing context, at the organisational level, the principle of integrity signifies that the police organisation has established and operates in line with ethical values. At the individual level, police officers uphold the principle of integrity when they align their behaviour with the ethical values set by their organisation.

Police misconduct – Illegal, unprofessional, or unethical decisions, actions or omissions made by a police officer, in violation of the principle of integrity, on duty, at the workplace or in private life.

Police manager – An employee of the police organisation who is tasked with strategic and operational planning, organising, staffing, controlling and supervising human, financial and material resources. In generic terms, depending on their level of seniority or rank, three types of managers exist – first-line managers, middle-managers and senior managers.

Police officer – An employee of the police organisation who is responsible for the operational functions of policing. Police officers conduct operational activities aimed at investigating and preventing crimes; responding to emergencies; apprehending criminals; protecting citizens and property; and maintaining peace and order within a community. Depending on the local context, the term can also be used in a generic manner covering all police employees irrespective of their rank.

Police officials – Any employee of a police organisation, from the lowest to the highest rank, assigned to both operational and administrative positions.

Police reform – The transformation of a security system, including all the actors, their roles, actions and responsibility to manage and operate the system in a manner that is consistent with democratic norms and sound principles of good governance (DCAF Gender and SSR Toolkit definition).

Preventive control – Preventive control refers to those policies and mechanisms that seek to change a police agency in ways that would serve to prevent errors, corrupt practices or unethical behaviour (DCAF Toolkit on Police Integrity definition).

Principles – Overarching and primary ideals, foundations, or postulates, which guide individual and collective behaviours.

Public service – A democratic policing principle according to which the mission and functions of the police aim at promoting the benefit of the public. In particular, the police must strive to respond to the security needs of all groups of citizens.

Police transparency – In the democratic policing context, the principle of transparency signifies that information on laws, budget, decisions and activities of the police are easily accessible to the public. Lack of such information hinders police accountability because the public will not be able to evaluate and scrutinise the way the police exercise the special powers vested in them.

Reform – The process of making an improvement, especially through changing a person's or group of persons' behaviour or the structure of certain institutions or organisations (adapted from Cambridge Dictionaries). It includes the processes of implementation and managing the change, monitoring review and evaluation.

Representativeness – A democratic policing principle signifying that the police workforce reflects the social composition of the society where it operates.

Risk assessment – The process of identifying risks in a particular environment that threaten its integrity or safety, determining what should be done to reduce or eliminate those risks and monitoring and evaluating the effectiveness of the risk reduction measures implemented (DCAF Toolkit on Police Integrity definition).

Rule of Law – A democratic governance principle according to which all the citizens of a state, including public officials are equally bound and protected by the law. Everyone, including public authorities, must decide and act on the basis of, and in accordance with, existing laws. In the policing context, upholding the rule of law is a democratic policing principle according to which the police must act and decide on the basis of, and in accordance with, existing laws, regulations and the legally binding human rights principles.

Glossary

Role modelling – *Being a role model, i.e. a person who exhibits positive principles, values and behaviours in a way that aspires others in his/her environment to imitate these behaviours and adopt these values and principles.*

Role play – *An educational method where the participants simulate a particular situation through assuming roles assigned to them, with the aim of exploring and advancing their knowledge and capacity to deal with real-life situations that are similar.*

Sex – *The biological, physiological and anatomical features people are born with. This means that the sex of males and females is the same throughout the world and throughout history.*

Strategic assessment – *The process of determining where an organisation stands in relation to performing certain functional duties or objectives; whether those objectives remain feasible and appropriate; whether they should be changed; and the identification of necessary steps to achieve those objectives. It includes data collection and analyses processes and should take into account external factors as well as internal capacities.*

Strategic planning – *The process of determining a course of action or direction for an organisation (decision making). It further consists in setting a vision for reform that describes the expected state of the organisation to be reached, the plan of action to be implemented, its control, monitoring and review.*

SWOT – *Situation analysis in which internal strengths and weaknesses of an organisation and external opportunities and threats faced by it are closely examined to chart a strategy (DCAF Toolkit on Police Integrity definition).*

Training – *A formal process leading to reinforcement or change of behaviour, knowledge, values, beliefs, skills or competencies related to a specific job, function or profession.*

Training administrators – *Persons responsible to plan, design, organise or evaluate the impact of the training. They can include staff working in human resources departments, training institutions, curriculum development and evaluation units.*

Training Strategy – *This is the main guiding document that should be developed in support of an effective and efficient human resources management system in relation to training. This strategic paper must consider all relevant aspects of the planning of training, including why, who, when and how police officials should be trained. The planning should include objectives and actions for all stages of the training cycle.*

Transparency – *A democratic governance principle according to which policies, laws, budgets, and information on decisions and activities of public authorities are easily accessible to the public. Information should be relevant, of good quality and provided in a timely manner. Lack of such information hinders accountability because the citizens will not be able to make informed decisions when it comes to elections and will not be able evaluate and scrutinise the way public authorities exercise the powers vested in them.*

Unethical behaviour – *A behaviour that violates moral norms and values that might be included in a code of ethics.*

Unprofessional behaviour – *A behaviour that is forbidden by a workplace's regulations, policies, informal rules or organisational principles and values.*

Values – *Important and longstanding beliefs or standards of behaviour about what is good or bad, desirable or undesirable, significant or insignificant in life. Values can be individual or collective and tend to influence individual or collective behaviours and attitudes. Values may differ depending on the local context and can change overtime.*

Vision – *Signifies where the police organisation wants to go; what the end in mind is or what the organisation wants to achieve over time. It corresponds to the most favourable future scenario. The vision is laid down in a vision statement.*

Whistleblower – *A whistleblower is a person who reveals wrongdoings or malpractices that are taking place within the police institution. These revelations could be made either to the general public or to those who are in a position of authority. A whistleblower can make a disclosure of corruption, mismanagement, illegal activities or any other wrongdoing (DCAF Toolkit on Police Integrity definition).*

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