

INDEPENDENT PROGRESS REVIEW OF THE PPA

INTERIM EVALUATION REPORT FOR PRI

OCTOBER 2012

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ACRONYMS & ABBREVIATIONS

ACHPR: African Commission on Human and Peoples' Rights

ARP: Annual Review Process

CCPCJ: Commission on Crime Prevention and Criminal Justice

CHRAGG: Commission for Human Rights and Good Governance

CoE: The Council of Europe

ECOSOC: Economic and Social Council:

HDIM: Human Dimension Implementation Committee

ICPS: International Centre for Prison Studies

IEGM: The inter-governmental expert meeting

IGOs: intergovernmental bodies

IPR: Independent Progress Report

LPRC: Legal Policy Research Centre

MENA: Middle East and North Africa

NED: The National Endowment for Democracy

NPM: National Preventive Mechanism

OHCHR: Office of the High Commission on Human Rights

OPCAT: Optional Protocol to the Convention Against Torture

OSCE: Organisation for security and co-operation in Europe

PMC: Public Monitoring Commission

PPA: Programme Partnership Agreement

SFK: Soros Foundation Kazakhstan

SMR: Standard Minimum Rules for Treatment of Prisoners

SPT: Sub-committee on the prevention of torture

1 EXECUTIVE SUMMARY

1.1 Purpose

Grantees are required to commission an independent evaluation adviser to undertake a mid-term Independent Progress Report to UK Department for International Development (DFID) of the grantee's progress and to verify the results relayed in the annual reporting process. Drawing on evidence from the annual reports, independent progress reports and case studies, the Evaluation Manager is required to make an assessment of the performance of grantees after 18 months of funding.

The purpose of the IPR is threefold:

- To assess the extent to which comments provided by DFID to PRI as part of the Annual Review Process (ARP) have been acted upon by PRI.
- To verify, and supplement where necessary, PRI's reporting through the ARP, the Changing Lives case study and the additionality report.
- To independently evaluate the impact that DFID funding has had on PRI's programmes and to assess the value for money of the funding.

The standard OECD DAC criteria are: Relevance, Efficiency, Effectiveness and Results.

1.2 Context

Penal Reform International (PRI) was awarded a Programme Partnership Agreement (PPA) with DFID for the period April 2011 - March 2014.

The PPA supports penal reform in the following countries in six global regions:

- Central Asia: Kazakhstan, Kyrgyzstan, Tajikistan
- South Caucasus: Armenia, Azerbaijan, Georgia
- Former Soviet Union: Belarus, Russia, Ukraine
- Middle East and North Africa: Algeria, Egypt, Jordan, Morocco, Sudan, South Sudan, Yemen
- East Africa: Kenya, Tanzania, Uganda
- South Asia: Bangladesh, India, Pakistan.

Thematically, and in accordance with a logframe agreed with DFID under the PPA, PRI is:

- Addressing prison overcrowding and promoting alternatives to imprisonment.
- Advocating for the prevention of torture and the abolition of the death penalty.
- Promoting restorative justice-based measures for children in contact and in conflict with the law.

- Pressing for the improved treatment of women and girls in the criminal justice system.

Across the PPA countries some 350,574 people were imprisoned at the time of the baseline data (2009 or 2010).

1.3 Methodology

Our methodology consisted of:

- Document review.
- Staff interviews.
- Learning workshop.
- Case studies of impact.

The project manager was appointed in October 2011, so aspects of the programme have only been running for less than a year, instead of the 18 months stated in the brief. We originally proposed 68 days for the evaluation to meet the brief from DFID. PRI decided to delay 36 days' work to the final evaluation to give impacts time to mature.

The focus of the evaluation has been on designing and embedding evaluation systems so that PRI will have good information to demonstrate impacts at the time of the final evaluation.

The PPA is integrated into the work of PRI. Our organisational review necessarily has a wider boundary than looking at the strengths and weaknesses of the PPA alone. PRI asked us to take a wider perspective than the PPA so that our recommendations are broadly applicable.

1.4 Main findings

In the last year PRI organised 27 capacity building events under the PPA, wrote and disseminated 40 publications under the PPA, and has taken an active role in local, regional, national and international advocacy campaigns. Overall, our initial estimate is that PRI is likely to have had an indirect impact on tens of thousands of prisoners across and beyond the PPA regions. This impact is likely to have been in terms of health and wellbeing, which has the potential to increase prisoners' future economic activity and reintegration into society. The impact is likely to have been wider than the specific beneficiaries, since their families would also benefit from lower stigmatisation, greater social integration and income from an economically active member. Where PRI is successful, the work might also have a deeper impact in encouraging governments to change their culture towards greater transparency and openness.

Evidence for these statements can be found in the impact case studies. PRI is more effective, efficient and relevant where, as in the CHRAGG and SMR case studies, it has a sustained and holistic programme of support around a specific set of objectives. It is precisely this approach that the DFID funding allows.

The CHRAGG project cost £44,000 and will have various levels of impact on 1,400 children: a unit cost of £32 per person. We have made a more conservative estimate across the whole portfolio of PRI's PPA work, that PRI will improve the lives of 30,000 prisoners across the three years, giving a unit cost of £108 per prisoner. Where systems are embedded, this impact is sustainable, and would continue after the end of the PPA programme. One of the major advantages of advocacy type programmes, and a reason why donors fund them, is because they tackle the causes rather than the symptoms of problems and so should have a longer term impact.

Working in prisons is particularly difficult because it operates at the end of a public sector value chain. This is highly specialised work for which PRI has strong skills, arguably unique skills. If PRI is not supported there are no other organisations who will step into their overall role.

1.5 Lessons

The PPA has greatly strengthened PRI's learning structures. It has given PRI the funding to organise a strategic away day and hold more regular workshops with regional directors. PRI was unable to fund this activity before DFID's support.

PRI has already developed a sophisticated approach to influencing policy makers based on partnership, practical support, detailed guidance and reference to international standards.

The main lesson from the PPA is that PRI needs to give further consideration to the impact on prisoners. PRI's model ostensibly treats government officials as the end user. Compiling information on the impact on prisoners will enable PRI to compare the value for money from different activities and choices. This will help PRI to think systematically about how it should best spend staff time at any one time, but also to fine tune or restructure activities for greatest impact.

1.6 Recommendations

- PRI should articulate what is special about the organisation and its theory of change, of which this report is the first stage.
- PRI should use evaluation and internal reflection to make explicit decisions between alternative routes to impact.
- PRI should more precisely describe what success would look like.
- PRI should ensure that job descriptions include evaluation.
- PRI should consider holding general evaluation training for staff.
- PRI should introduce a new structure for monthly reports to give a more structured way of reporting outputs and a greater focus on outcomes.
- PRI should develop a focused evaluation system to capture the intermediate outcomes of the PPA and the mechanisms whereby it contributes to these outcomes.
- PPA publications should credit DFID, where it is not locally contentious.

Our report provides practical guidance on what the new evaluation system should look like and how it should be used.

2 INTRODUCTION

2.1 Background on the programme

Penal Reform International (PRI) was awarded a Programme Partnership Agreement (PPA) with the UK Department for International Development (DFID) for the period April 2011 - March 2014.

The PPA supports penal reform in the following countries in six global regions:

- Central Asia: Kazakhstan, Kyrgyzstan, Tajikistan
- South Caucasus: Armenia, Azerbaijan, Georgia
- Former Soviet Union: Belarus, Russia, Ukraine
- Middle East and North Africa: Algeria, Egypt, Jordan, Morocco, Sudan, South Sudan, Yemen
- East Africa: Kenya, Tanzania, Uganda
- South Asia: Bangladesh, India, Pakistan.

Thematically, and in accordance with a logframe agreed with DFID under the PPA, PRI is:

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- Advocating for the prevention of torture and the abolition of the death penalty.
- Promoting restorative justice-based measures for children in contact and in conflict with the law.
- Pressing for the improved treatment of women and girls in the criminal justice system.

2.2 Our brief

Grantees are required to commission an independent evaluation adviser to undertake a mid-term Independent Progress Report to DFID of the grantee's progress and to verify the results relayed in the annual reporting process. Drawing on evidence from the annual reports, independent progress reports and case studies, the Evaluation Manager is required to make an assessment of the performance of grantees after 18 months of funding.

The purpose of the IPR is threefold:

- To assess the extent to which comments provided by DFID to PRI as part of the Annual Review Process (ARP) have been acted upon by PRI.
- To verify, and supplement where necessary, PRI's reporting through the ARP, the Changing Lives case study and the additionality report.
- To independently evaluate the impact that DFID funding has had on PRI's programmes and to assess the value for money of the funding.

The standard OECD DAC criteria are: Relevance, Efficiency, Effectiveness and Results.

2.3 Our methodology

Our methodology consisted of:

- Document review.
- Staff interviews.
- Learning workshop.
- Case studies of impact.

3 METHODOLOGY

3.1 Introduction

The Independent Progress Review serves two purposes:

- To give DFID a clear picture of the success of the programme, especially its impact and value for money.
- To give PRI feedback on how it can strengthen the programme to ensure achievements are maximised by the programme end.

The project manager was appointed in October 2011 so aspects of the programme have only been running for nine months, instead of the 18 months stated in the brief. We originally proposed 68 days for the evaluation to meet the brief from DFID. PRI decided to delay 36 day's work to the final evaluation to give impacts time to mature.

3.2 Document review

We have reviewed these documents:

- Grant documents.
- Internal systems.
- Baseline data.
- Publications.
- Evaluation reports.
- Meeting reports, training materials, external communication and other detailed files for the case studies.

3.3 Staff and board review

We interviewed all staff in PRI who are involved in the PPA programme and the main consultants:

| Name | Post | Based | Time on PPA % | Role on PPA | Qualifications |
|---------------|--------------------------------|--------|---------------|---|-----------------------------|
| Alison Hannah | Executive Director | London | 30% | Oversight | Solicitor |
| Nikhil Roy | Programme Development Director | London | 50% | Justice for children / alternatives to prison | Politics & Economics degree |
| Andrea Huber | Policy Director | London | 90% | Advocacy work / Bangkok Rules | Lawyer |

| | | | | | |
|-----------------------|---|--------|------|---|---|
| Sara Bailey | Programme Coordinator (PPA) | London | 100% | Coordinates PPA | MSc International Relations/development |
| Jacqueline Macalesher | Death Penalty Abolition Project Manager | London | 100% | Manages DP components of PPA | LLM international law |
| Mushegh Yekmalyan | Torture Prevention Project Manager | London | 100% | Manages torture project components of PPA | LLM international law |
| Arslan Penjiyev | OSI Research Assistant | London | 100% | Research on restorative justice | Lawyer |
| Becky Randel | Research Assistant | London | 25% | Works on VAC aspects of PPA | BA Social Policy |
| John Usher | International Finance Manager | London | Na | | |
| Jatinder Seehra | Finance Officer | London | 35% | Financial reporting | BA Sociology and criminology / ACCA qualification (not completed) |
| Tomris Attabay | Consultant | Na | Na | Girls and women | |
| Rob Allen | Consultant | Na | Na | Africa | |
| Frances Sheahan | Consultant | Na | Na | Juvenile justice | |

Staff interviews had two overall purposes:

- To analyse the achievements of the PPA.
- To analyse the strengths and weaknesses of PRI as an organisation.

3.4 Learning workshop

We facilitated a half-day session of regional managers to:

- Draw out lessons about how to maximise effectiveness in the PPA.
- Articulate the theory of change behind the PPA.
- Explore the impact from the PPA.
- Discuss the proposed new evaluation methods.

3.5 Case studies

We carried out three case studies:

- PRI's international influencing around the Standard Minimum Rules. This illustrates the way PRI works internationally on high leverage points.
- Work with CHRAGG in Tanzania. This illustrates the way PRI works to build capacity in government agencies.
- A case study in one region of the PPA, Kazakhstan. This illustrates PRI's regional work.

The case studies are intended to demonstrate the scale of PRI's impact, as much as is evident this early in the programme, and the inherent value for money of PRI's approach. The case studies also demonstrate how aspects of PRI's work – training, international advocacy and local work – can be evaluated.

3.6 Approach to quality assurance of evaluation

We follow the standards of the American Evaluation Association.

3.7 Strengths and weaknesses of selected evaluation design and research methods in retrospect

PRI has a vast programme covering a wide range of activities across 22 countries across six global regions. Its current evaluation is weak, in part because of the difficulties of evaluating advocacy. The scale of evaluation set out in our proposal was scaled back because of the timing of the grant funding. Our design therefore focused on developing and embedding evaluation methods for future use.

4 EFFECTIVENESS: HOW PRI WORKS

4.1 Introduction

This section addresses the question in the brief on ‘distinctive offering’: “What is the distinctive offering of the organisation and how does it complement or add value to DFID’s portfolio?”

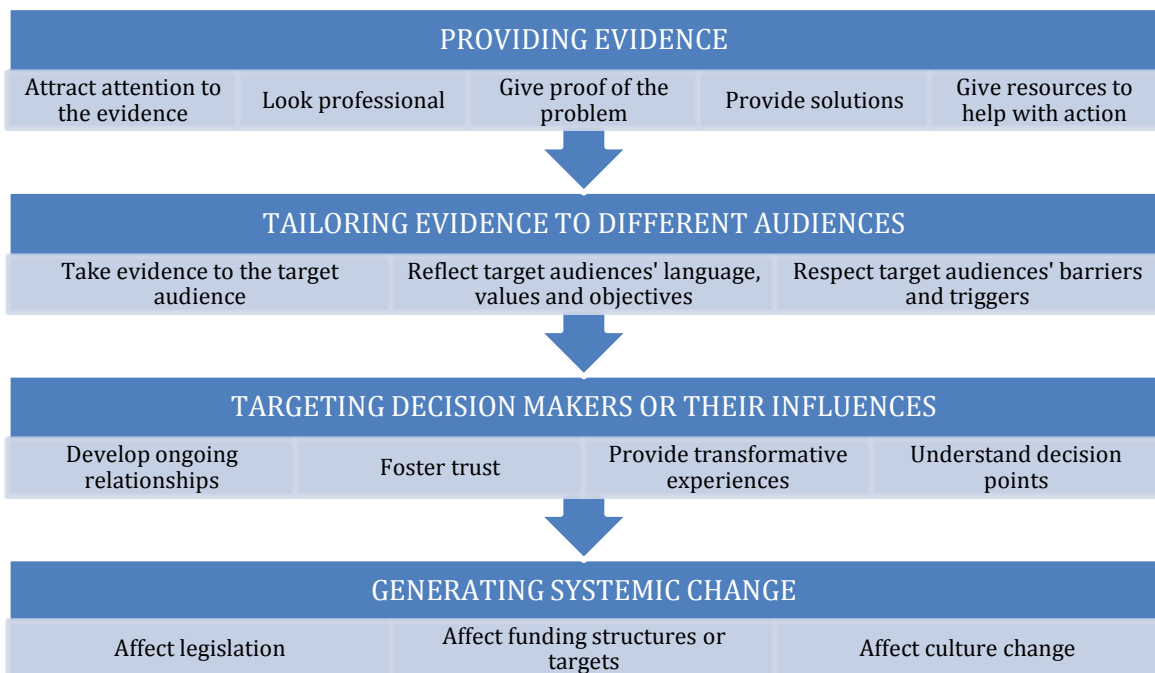
This section is an internal review so the quotes are all from PRI staff, managers or consultants.

4.2 How sophisticated is PRI’s influencing?

4.2.1 Our model of influencing

We have developed a theory of influencing which attempts to analyse the level of skill.

Figure 1: The four levels of influencing



In this model, Providing Evidence is counted as basic because people need to already have some interest in the subject to pick up the publication, and because information removes only some of the barriers to influence. The more sophisticated levels draw attention to the issue so that people will read about it and help the reader to see what they should do.

Customisation adds another layer of impact where it reflects the language, values, decision time frames and structures of different stakeholder groups. Some campaigners at this level structure their arguments entirely around the target audiences’ objectives, de-emphasising or reframing the campaign argument to increase receptivity. Evidence is not necessarily in

the form of publications: the format will reflect the learning style or styles of the target audience.

Targeting involves focusing energy on levers for change. In some cases this is decision makers, but where decision-makers are resistant, campaigners target the people or sources that decision makers listen to. Decision makers tend to be highly independent so an effective way of exerting influence is to provide transformative experiences, whether through training, field visits or attendance at a public enquiry. More sophisticated approaches to targeting include ongoing engagement, both to ensuring continued interest and to stimulate peer support so that the process is self-perpetuating without additional effort.

Systemic change is where organisations change policy, funding or performance measurements systems in ways that meet the campaigning objectives at a global level without having to engage in individual persuasion. This is advanced because it is organisational (or pan-organisational) rather than personal and avoids the common problem of preaching to the converted. The more sophisticated approaches combine systemic change with work to win minds and change culture, so reducing non-compliance, tokenism or sabotage. Each level also has more or less sophisticated approaches. More sophisticated approaches reflect these broad principles of success in advocacy as well as those in the levels above:

Figure 2: Principles of success in advocacy



4.3 Evaluating PRI's influencing on our model

4.3.1 Providing evidence

PRI has a very sophisticated approach to providing evidence. Reports are produced to a high standard, with clear guidance and practical advice. Reports are designed to reflect local conditions. PRI presents the solution, not just the problem, so making change seem easier.

4.3.2 Targeting evidence to different audiences

PRI uses different tactics locally, regionally and internationally. PRI deliberately doesn't provide separate reports for different local stakeholders since it is aiming to build consensus and collaboration. It does get continual feedback from people it is trying to influence:

- Carrying out baseline analysis to see potential barriers to influencing.
- Carrying out needs analysis before planning training/capacity building.
- Asking for specific questions or interests at the beginning of training/capacity building.
- Consulting key stakeholders on reports before they are published.
- Understanding the pressures and agendas of those it is seeking to influence. PRI adopts a respectful approach, a partnership approach.
- Being very well informed. PRI understands the systems it is trying to change and therefore is often viewed as a source of insight by key stakeholders.

4.3.3 Targeting decision makers or their influences

PRI has a sophisticated approach to targeting decision makers. This includes:

- Understanding that people at different levels in the organisation need to be persuaded: senior and junior people both have types of power to block or enable change.
- Presenting arguments in language that is sensitive to target decision makers' perspectives.
- Creating opportunities for participants to visit prisons, sometimes for the first time, so that they are persuaded by their eyes.

PRI could probably be more focused on understanding the specific decision makers in individual circumstances. There have been criticisms that some of its training has been for people who were too junior to have an effect, or that job turnover in some governments is too high to create sustainable impact.

4.3.4 Generating systemic change

Reference to the international standards gives PRI a relatively non-contentious route to argue for systemic change. Generating systemic change gives wide-scale impact for relatively little work from PRI's side: a highly cost-effective use of resources.

4.4 Advocacy

PRI has worked with agencies such as the UN Committee on Crime Prevention and Criminal Justice, UN Committee Against Torture, UN Committee on the Rights of the Child, The African Commission on Human and Peoples' Rights, the African Committee of Experts on the Rights and Welfare of the Child, and UNICEF under the PPA. PRI also works with national and local government.

PRI has a distinctive approach to engaging in high-level advocacy:

- PRI acts in partnership with governments.

“PRI’s Moscow office continues to work in Belarus when virtually all western European NGOs have withdrawn.”

“If you are outside government then anything you say is of much less value. It puts you in a position of weakness to bring about change. When you are dealing with penal reform, which is at the end of the system, it is difficult to get change from the outside.”

“PRI provides a neutral environment for different interests to meet and discuss. We have positive relationships with different interests and can form a bridge.”

- PRI has strong contextual knowledge through its regional offices, which provide a permanent presence and strong local ownership.
- PRI has a role at each stage in applying international standards: helping in their drafting, revision, promotion, application and reporting.
- PRI participates in working groups with government.
- PRI influences governments through its relationship with international bodies.
- PRI is often asked by governments to give its expert judgment on aspects of the penal reform system.
- PRI helps NGOs to more effectively influence government, for example, through forming coalitions.

“PRI has an advantage over international bodies because it is not a big bureaucracy. It can deliver practical projects.”

- PRI has a high presence at international conferences through side events, statements, email conversations, follow up letters etc.

These elements are designed to increase the status, leverage and reach of PRI’s advocacy.

4.5 Training/capacity building

In the last year PRI has organised 27 capacity building events under the PPA.

PRI has a distinctive approach to the delivery of workshops:

Process

- Training tends to be called capacity building because this emphasises that PRI is not dictating so much as supporting and empowering participants.
- Some workshops carry out a needs analysis survey so that the level can be pitched appropriately. This asks about the job position of the participants, any previous training, the challenges in their country and the constraints on implementation.
- PRI is actively involved in discussing possible participants with its partner organisations so that it can encourage the right people to attend. Workshop invitations are personal.
- Workshops run for one to five days, typically for three days.
- All justice stakeholders are represented or present around the table so that there is a holistic approach to learning and problem solving.

Delivery

- PRI's capacity building includes presentations, discussions, international visits and small grants.
- PRI uses expert practitioners who can talk in detail about practical application.
- PRI uses case studies, role play and other experiential approaches.
- PRI tends to include prison visits. Some participants will not previously have had access to a prison.
- PRI tends to include an element of training of trainers to give a structure to sustain and expand training.
- Especially for training of trainers, PRI employs international experts, who give status and insight, as well as professional trainers.
- PRI tends to bring together government officials (prison officials, judges, magistrates and inspectors) and non-profit organisations to increase understanding and collaboration between different agencies.
- Training is ideally organised in a residential format so that trainees have a chance to focus, reflect and talk to other trainees. A residential structure gives a shared experience and also helps with efficiency as trainees are more likely to be punctual and so sessions can start on time.
- PRI uses simple feedback forms at the end of the workshops, and sometimes at the end of each day. It uses the results to adapt the later parts of the training to the preferences of the participants. Feedback forms are filed in the regional offices.

Content

- Content is based around international standards and the implications for participants' work.
- Training balances theory and practice.

- PRI uses real world examples and problem solving.

These elements are designed to increase the relevance, credibility, memorability and sustainability of training.

Example: Evaluation of Phase I and II of Juvenile Justice programme in the Arab World by Penal Reform International, On Behalf of Sida, February 2011. Channel Research concluded that: “The project has been successful in creating a pool of trainers whose methodology and approach is regarded as progressive, stimulating and enriching. The training sessions, including multidisciplinary sessions, have been highly appreciated. PRI has trained a constituency of people well-versed in restorative justice, the principles of which have found resonance with local culture and pre-existing reconciliatory approaches.”

Example: Capacity-Building Workshop for Civil Society, Monitoring of Detention, Campaigning & Advocacy, 26 to 29 March, Kiev/ Ukraine, 12. The agenda had: an hour for participants to introduce themselves and discuss their backgrounds and expectations; an hour to discuss and collate challenges participants have faced so far in their work related to monitoring places of detention, advocating authorities and designing campaigns and strategies developed to overcome these challenges; five hours explaining the international standards and how they work; two days on practical approaches such as how to run a campaign and how to carry out inspection visits, with presentations from partners, such as the Association to Prevent Torture; in the middle of the practical workshops, a day of visits to a detention centre, with a debriefing session. Participants received a USB-stick with relevant documents on the topics covered within the workshop. Some six weeks after the workshop a follow-up web forum was organised so that participants could share subsequent experiences in practice.

In Macedonia, PRI piloted Monitoring Tools to Assess Impact of Training, which is superseded by the system which we have developed for PRI (described in section 8).

4.6 Publications and resources

In the last year PRI has written and disseminated 40 publications under the PPA.

PRI has a distinctive approach to the writing and dissemination of publications:

Process

- Draft papers are sent out for comment to the regional offices and international experts.
- Publications are disseminated at international conferences and meetings, through the regional offices and through the PRI newsletter and website.
- Publications are written in different languages.
- Dissemination is online and hard copies.
- All publications are free.

Content

- PRI focuses on good practice, on drawing attention to the positives rather than highlighting deficiencies.
- PRI is not giving its own opinion of what is right or wrong. It is helping organisations to apply the international standards.

“Our style is to be constructive, not offensive, not accusatory.”

“We reference the international standards and we look at how they can be applied taking account of the cultural and regional context.”

- Content is action-based e.g. through giving ten or twelve steps. It gives concrete recommendations of what agencies can and should do.

“We try to stay constructive: we see the problem, we know the solution. We give the government the information they need. All they need is the political will. Everything else is done.”

- Text remains fairly close to the language of the standard. Case studies are in boxes so that the reader can see they are examples, not part of a standard.
- The audience is policy makers, governments, prison departments, the international community, and possibly the public. PRI deliberately doesn't produce different versions of reports for different stakeholders. Its whole ethos is to bring agencies together and build bridges for understanding and collaboration.
- PRI aims to extend the agenda, to think beyond the current issues. For example, there are a number of organisations arguing against the death penalty, PRI goes beyond this to consider what should happen to lifers who are saved from the death penalty.

Style

- Publications are written in an accessible way, with the minimum of jargon.
- Publications are gender aware.
- The style is as an expert practitioner rather than an academic or journalist.
- Publications do not take a political stand.
- PRI has recently strengthened its branding e.g. publications have a distinctive purple colour.
- Publications are not all text-based. PRI is developing audio-visual materials.

“Our style is neutral approach. We try not to put our own personal opinion in.”

These elements are designed to increase the cultural sensitivity, accessibility, practicality and usefulness of PRI's publications.

PRI has never carried out any evaluation of the use of its general publications. This would be beneficial given that one of the outcomes stated in its strategic plan is “Increased use of PRI resources for information and good practice.”

PPA publications do not credit DFID. We have suggested that they should, where it is safe to do so.

4.7 Technical assistance

PRI provides technical assistance throughout the PPA.

PRI has a distinctive approach to technical assistance:

- PRI’s technical assistance is practical, for example it might help establish new or review structures, systems or processes.
- PRI’s technical assistance is relatively holistic, for example, it might include drafting legislation or guidance, or providing seed-funding.

In Jordan PRI supported specialized police officers for children. However, evaluation suggested these were not sufficient to improve the treatment of children. PRI advocated for a specialized department for children, for which it offers initial financial support. PRI was the only NGO in a group establishing the new department. The new department has proved more effective and governments across the region have expressed interest in the approach.

In the Ukraine, PRI helped to establish a resource centres for the prison service. This has training facilities and staff, documents on penal reform and a contacts database.

- PRI’s technical assistance is ongoing, generally provided by staff rather than by short-term consultants.
- PRI’s helps pilot approaches with the aim that government agencies or NGOs will take them on and take them to scale.

These characteristics are all designed to increase application of advice.

4.8 Conclusion

PRI has a highly distinctive offering based on:

- Specialist knowledge at a global level.
- A unique positioning close to governments.
- A sophisticated model of influencing developed over many years of operation.
- An holistic model of support.
- Long relationships, again developed over many years.

PRI’s work is highly complementary to the other civil society organisations that DFID funds. There are different barriers to change in strengthening civil society. PRI reduces barriers

around knowledge, application, organisation and collaboration. Other civil society organisations and international bodies, with which it works closely, put pressure on governments and increase the impetus for change. PRI also helps to build capacity in local civil society organisations.

5 EFFECTIVENESS: PROCESS REVIEW

5.1 Introduction

The PPA is integrated into the work of PRI. Our organisational review necessarily has a wider boundary than looking at the strengths and weaknesses of the PPA alone. PRI has also asked us to take a wider perspective than the PPA so that our recommendations are broadly applicable.

This section addresses the sections of the brief that are about learning and innovation, monitoring and evaluation.

5.2 Strategy

5.2.1 Strengths

DFID funding has enabled PRI to take a more strategic approach than previously possible:

- PRI has a strategic plan for 2012-2015. This has six strategic objectives: reduction in the use of imprisonment; prevention of torture and other cruel, inhuman or degrading treatment or punishment; incarceration of children as the last resort; a proportionate and sensitive response to women offending; a leading international resource for penal reform; and exploration of new ways and locations to promote penal reform.
- PRI's strategy has a containable number of strands, each enacted through complementary activity such as international influencing, inspection, alternatives and sub-national training.
- PRI has a process to translate the strategy into a work plan.
- PRI reviews progress on the plans, including providing the information needed for the PPA reporting process.
- PPA held an away day in February 2012 to think about the long-term vision for the organisation.

5.2.2 Weaknesses

- PRI's model ostensibly treats government officials as the end user. It tends not to survey prisoners about their views on possible changes.

"We are a top down organization. We work from the international standards down."

"We are not a grass roots organizations. We don't deal with individual cases. We struggle with interviewing prisoners partly because we understand the difficulties of doing so. When you interview prisoners all they want to talk about is their case. You don't want to raise their hopes. Surveys of prisoners can't be done rapidly or lightly."

- The term of funding does not match the length of time needed to achieve the strategic objectives.

- The lack of evaluation means that PRI does not have a structure for comparing the value for money from different activities and choices; for thinking systematically about how it should best spend staff time at any one time.

5.2.3 Changes in the pipeline

None reported.

5.2.4 Recommendations

- PRI should articulate what is special about the organisation and its theory of change, of which this report is the first stage.
- PRI should use evaluation and internal reflection to make explicit decisions between alternative routes to impact.
- PRI should more precisely describe what success would look like.

5.3 Management structure and staffing

5.3.1 Strengths

PRI has moved positively beyond the stressful situation of its funding crisis in 2010:

- PRI has a highly skilled team, many with legal qualifications (see table in section 2.3). It draws on consultants to provide additional high-level expertise.
- Head office, and each regional office have a pool of local and international experts who are committed and active.
- PRI is seen as solution oriented, unbureaucratic and pragmatic.
- Staff describe the culture as open, transparent, supportive and hard working.

“There are always a number of people you can go to if you need help. Everyone is happy to support you. You don’t feel you are being a burden.”

“Everyone works very hard because they are self-motivated.”

“We punch above our weight. It makes you proud to work here.”

“We would never put out anything that wasn’t in line with our values.”

- With a couple of exceptions morale in PRI is very high.

“People who know the organisation are very positive about PRI. That is why it is so important to do evaluation.”

“I don’t feel I have to run everything past my boss, I feel trusted.”

“Because of the PPA I have the flexibility to take up windows of opportunity. There is a planned set of activities, but it doesn’t stop you from taking up opportunities. This is extremely important in advocacy.”

- Staff generally describe strong pride in the quality of the work at PRI and the integrity of the organisation. The exception is a concern that PRI does not always know whether it has an impact because of the lack of evaluation.
- PRI has guidelines for appraisal and an appraisal form.

“The lack of evaluation is frustrating because even after you have read the monthly reports you don’t know how the project is developing.”

“The reporting scheme for the PPA is very confusing. There is nothing about impact there. I want to write about what we have achieved, but it is not of interest, which I find really difficult.”

5.3.2 Weaknesses

- The current geographical spread of regional offices is the result of cost-cutting rather than strategic planning.
- Staff appraisals are not carried out according to a planned schedule. Appraisals tend to be initiated by the appraisee.
- PRI has a small training budget (£4,000). Training tends to be ad hoc and specific to immediate needs rather than set within a longer-term plan for career development.

5.3.3 Changes in the pipeline

- PRI is recruiting for an Executive Assistant and an Information and Communications officer.

5.3.4 Recommendations

- PRI should ensure that job descriptions include evaluation.
- PRI should consider holding general evaluation training for staff.

5.4 Partnership

5.4.1 Strengths

Partnership is central to PRI’s way of operating:

- PRI has a wide range of partnerships at different levels in international bodies, governments and civil society organisations. PRI’s model feeds information in a two way process between international and local partners.
- Especially where PRI has regional offices, PRI has sustained relationships over many years. PRI regional staff provide deep understanding of local culture, language, government structures and practice.
- Partnership builds sustainability. Its strategy emphasises that: “All PRI regional offices work with local partners, governmental and non-governmental. This collaboration

usually includes some capacity building, whereby PRI supports and strengthens the skills and abilities of local partners to ensure long term sustainability of reform.”

Example: PRI has a policy on engaging with governments, written in October 2010, states that PRI: engages with criminal justice and other officials, without whose cooperation the process of reform is impossible and unsustainable; engages with, complements and supports the legitimate activities of independent civil society; maintains a permanent watch on the extent to which public statements by the government, legislation and practice demonstrate commitment to human rights and good governance; discusses with the government, in a constructive manner, areas of non-compliance with human rights standards and norms relevant to PRI’s mandate; remains prepared to disengage, should the government’s actions be so serious as fundamentally to call into question the appropriateness of PRI’s continued co-operation.

“Penal Reform International’s Policy on Engaging with Governments: “PRI engages with criminal justice and other officials, without whose cooperation the process of reform is impossible and unsustainable.”

“Working in partnership we can get so much more impact for the money. And one of our aims is to build the capacity and skills of civil society organisations.”

- PRI’s reputation is a considerable asset in its partnership working. PRI has earned consultative and observer status with intergovernmental bodies (IGOs) such as the Economic and Social Council (ECOSOC) of the United Nations (UN), the Council of Europe (CoE), and the African Commission on Human and Peoples’ Rights (ACHPR).

Example: The progressive abolition of the death penalty and alternatives that respect international human rights standards evaluation. “PRI approaches the death penalty with an additional emphasis on the need to focus on challenges of alternative sanctions to the death penalty and can comment with authority on these challenges. This approach, expertise and well-deserved reputation facilitates the opportunity for a fuller engagement with national authorities.”

Example: PRI has learnt about good practice in partnership working for example, it has an internal template for an MOU to ensure expectations are clear where partners are delivering part of a programme.

The case studies (section 7) provide a clear picture of the strength of PRI’s partnerships.

5.4.2 Weaknesses

None reported at this stage.

5.4.3 Changes in the pipeline

None reported.

5.4.4 Recommendations

We have no particular recommendations on partnership.

5.5 Communication and learning

5.5.1 Strengths

- Regional directors meet in London three times a year.
- Regional directors produce monthly regional reports that give factual information on the level of activity.
- Regional directors are part of the management team and come to the board meetings.
- An advocacy update describes action on international advocacy.
- An advocacy calendar gives an overview of activities in all offices.
- PRI commissioned consultants Champollion to review its external communication.
- PRI is aware of a need to capture its internal learning.

Example: The Seminar Report, “Promoting alternatives to imprisonment in Kenya: community service and the role of the judiciary, 26 February 2012 & 1 March 2012 in Mombasa and Nakuru, Kenya” gives a detailed and well-structured account of lessons about why alternatives to imprisonment have been difficult to implement in Africa. Barriers include:

The amount of work e.g. magistrates need to obtain a community service report before making an order. Before issuing a community service order, the placement institution must be contacted and must be ready to receive the offender. The offender must be in good health and able to carry out the community service work available.

- Uncertainty about process e.g. magistrates were unsure whether they were supposed to seek the opinion of the victim before making a community service order.
- Concern about unintended negative consequences. Community projects need to be chosen carefully, so that local people do not see that community service workers are taking away paid employment opportunities.
- The line of incentives. Budgets for prison and community service are separate.
- Concern that the offender will abscond.
- Concern that the offender could threaten the victim or witnesses.
- Concern that the public will think that individuals given community service have been given an easier option because of corrupt payments.

Example: The report of the Mena visit March 2011 has a good (although incomplete) conceptualisation of sustainability:

- Changing infrastructure: laws, policy, regulatory framework
- Capacity building and training, including professional curriculum, manuals and materials

- Evaluations showing what works
- Case studies to share information
- Information materials, publications and website resources
- Research information.

5.5.2 Weaknesses

- Partly because of the lack of evaluation PRI is not good at communicating its successes.
- London staff report that the responsiveness of regional offices to information requests varies.
- Communication with and between regional offices is uneven. There have been cases where regional offices have run workshops on the death penalty or torture without telling the subject leads in the London office.
- Staff report that they are too busy to have time for reflection.
- There is an enormous amount of knowledge and insight regionally and that is not documented in London.
- The intranet will not allow London staff to access their documents when they are travelling.
- Internal reports tend to be focused on activity.
- Internal reports don't have summaries. They tend to provide enormous detail without drawing broader lessons or identifying key questions for PRI's effectiveness.
- PRI's Advocacy Strategy states that: "PRI selects its advocacy priorities based on the following considerations: PRI's mission and strategic goals, added value of PRI as compared to other organisations, preparedness of respective governments to engage in reform, windows of opportunity/ windows for change and maximising resources." This suggests a strong understanding of the need to prioritise alternative courses of action but the notes from the away-day observe that PRI needs to better document its reasoning.

"Learning lacks a focal point. It is a challenge to keep the organisational memory alive. No one has the time to read the archives and find ideas from there. There should be other living tools to do that."

5.5.3 Changes in the pipeline

- PRI is upgrading its website, including strengthening its use of social media and search engines. The problem of access to the intranet was rectified during our consultancy.
- PRI is strengthening the branding of its publications through developing a style guide with consultants Intertype.
- PRI is considering adopting a strap-line to help communicate its purpose.
- PRI is developing a database of contacts that will allow it to send targeted information based on specific interests.
- PRI is planning to develop a publications strategy.

5.5.4 Recommendations

- We recommend that PRI introduces a new structure for monthly reports to give a more structured way of reporting outputs and a greater focus on outcomes.

5.6 Financial and systems management

5.6.1 Strengths

KPMG's Due Diligence report for DFID found no critical financial or operating weaknesses.

- Financial procedures are documented in the international staff handbook.
- Staff report that book keeping is carried out meticulously.
- Auditors offer expert support every sixth months, if needed.
- PRI recruited a finance assistant.
- PRI has a risk register updated in March 2012.
- The procedure now requires two cheque signatories.
- PRI addressed the issues mentioned by KPMG: it drafted a policy for conflicts of interests, a reserves policy, and an anti-bribery and corruption policy (in the staff handbook).

5.6.2 Weaknesses

- PRI does not have a financial strategy or finance manual. Some aspects of financial responsibilities are included in the international staff handbook.
- PRI carries out limited medium to long term financial planning. PRI does not prepare financial forecast of income and expenditure.
- The International Finance Manager is not a qualified accountant.
- Board minutes suggest a lack of financial scrutiny.

5.6.3 Changes in the pipeline

- The finance team producing management accounts monthly rather than quarterly.
- The finance team is introducing a more consistent format for regional offices to report expenditure.
- PRI is developing more country specific risk analysis.
- PRI is upgrading its servers, replacing seven or eight desk tops, installing a fire proof safe and moving to remote backing up.

5.6.4 Recommendations

- We have no particular recommendations at this stage.

5.7 Evaluation

5.7.1 Strengths

- PRI produced a baseline table giving data from the ICPS World Prison Brief on: population and rate per 100,000, percentage pre-trial, percentage women, percentage juveniles

(<18); summaries from CAT and US State Reports on Human Rights on: prison conditions, inspection, proportion of pre and post-trial sanctions that are non-custodial; and other information on partners, existing capacity building, ratification of international standards and other issues. The table format, although not quantitative in style (as it should be), is systematic and concise.

- PRI has produced a two-page evaluation framework which captures key questions for evaluation.
- PRI regularly carries out feedback evaluation on its capacity building.
- PRI's internal reports tend to have a good discussion on the challenges of achieving impact.

5.7.2 Weaknesses

- PRI's internal reports tend to have an uncritical style: with sweeping statements that are too positive, elide intended and actual outcomes, or mix means and ends. Suspiciously rounded numbers suggest a lack of hard data.

Example: Support to Penitentiary Reform in Ukraine 2009-2012. August 2011, concludes that "After a six-month evaluation, all the respondents from the initial Training of Trainers indicated that the information and skills gained during the workshop had improved their work as a group and the educational services they provide at the CC." It is unlikely that all the respondents said that they had improved their work.

Example: The report from the Evaluation of Phase I and II of Juvenile Justice programme in the Arab World by Penal Reform International, On Behalf of Sida, February 2011. Channel Research concluded that: "The evaluation team considers that PRI is insufficiently self-critical in its reporting, to the extent that the reports are almost misleading."

Example: Evaluation of PRI's JJ project in Georgia. This quote implies that after interviewing 15 beneficiaries out of the total of 70 PRI would conclude that 'everyone' has benefitted: "This is a project which has delivered a very high level of success, acknowledged by everyone: especially encouraging is the fact that the direct beneficiaries, the youth in conflict with the law, have benefitted enormously from the project (conversations with 15 beneficiaries, all boys)."

Example: Progressive abolition of the death penalty and alternatives that respect international human rights standards external evaluation. The consultant confuses high regard with impact: "There was a very high regard for the mutually reinforcing value of the work that was conducted internationally and the work conducted regionally and nationally." The style is uncritical and vague: "The project management was of the highest order and activities were delivered to a very high standard. Partnerships were well run and project stakeholders were unstinting in their praise for PRI substantive output and approach." The report does not give evidence: "In Central Asia, in particular Tajikistan, the project was described as creating widespread public debate and increased public support for the abolition of the death penalty." And "The project has directly contributed to and directly inspired concrete steps towards the reduced use of the death penalty in national contexts and to a degree thoughtful and progressive consideration of alternatives to the death penalty." Its description of 'Monitoring, research and analysis' is misleading: "The documentation produced by the project is of an excellent standard. It played a vital role in

making the other activities as successful as they could be, ensuring that participants had current, relevant, appropriate and legitimate tools to carry on their work after training, or conferences or during advocacy initiatives.”

“We have always had difficult promoting the work we do. Recently we have tried to be more self-praising. This isn’t really the right approach. We need to demonstrate what we achieve instead.”

- PRI does not have a conceptual or learning structure to help integrate enquiry and learning across the organisation. The PRI notes from the Coffey meeting in December 2011 said that policy change programmes that can’t yet measure their impact because they have only addressed a small part of the policy reform chain would be expected to construct a chain of logic explaining why this step will result in policy change, and how the policy reform is expected to change lives should it take place. This has not been done.
- PRI does not carry out follow up evaluation in a systematic format.

Example: capacity building feedback forms. Different formats are used across the organisation, which is understandable in an international organisation. The version we have has six questions. There were four open questions about strengths and weaknesses. These are relatively imprecise and the reporting does not seem to refer to weaknesses. The process questions are multiple for example, ratings on 1-5 for ‘Appropriateness of the workshop organizers’ and facilitators’ skill, experience and style to this workshop’, vague e.g. ‘Flexibility and responsiveness of workshop organizers and facilitators to the needs of the participants’. The only question that moves towards outcomes is somewhat circular: ‘How useful were the hand outs and materials to the workshop’s purpose and objectives?’ rather than to the participant. Overall the form is too focused on satisfaction rather than outcomes.

- PRI’s evaluation framework gives a list of questions. It doesn’t give any context for the questions such as a theoretical framework. It is more like a checklist for report headings than a guide to the philosophy and methodology of evaluation.
- PRI does not have a systematic process of learning from evaluation reports.
- PRI does not have a methodology for evaluating value for money.

Example: Project Evaluation Report: Locked up and forgotten – prevention of torture in prisons of Khyber Pakhtunkhwa Pakistan. This report seems to equate value for money with expenditure: “The cost benefit analysis suggests the project provided good value for money in addressing the sensitive issues of torture and human rights in the current political and high-risk security situation. Of the total project budget about 65% of expenditure had been made as of October 2011. The personnel cost and activities planned for the last semester will utilise the remaining 35% of the budget.”

5.7.3 Changes in the pipeline

- PRI is aware that it needs to strengthen its evaluation systems. Its strategic plan gives outcomes for each of its objectives and expresses a commitment that “Measurement of progress will be shown by identifying the changes that have occurred from the start point.” The strategic plan also shows a clear understanding of the difference between these measures of change and “Examples of quantitative measures for outputs (that) include numbers of people trained, briefings published, website visits, organisation of and participation at events.”

5.7.4 Recommendations

- PRI should develop a focused evaluation system to capture the intermediate outcomes of the PPA and the mechanisms whereby it contributes to these outcomes.

5.8 Conclusion

PRI performs well on Relevance:

- It carried out a detailed and systematic baseline analysis.
- It carries out needs analysis for its capacity building.
- It is inherently targeted at those who are most marginalized in society, those who are imprisoned or facing imprisonment.
- The programme further targets particularly marginalized groups: women and children.

PRI works effectively:

- It has a clearly defined strategic role.
- It has a highly skilled and committed staff team.
- It has good systems, without being bureaucratic.
- It works flexibly, responding to opportunities.
- It has strong partnerships.
- It has a potentially global impact through its website.

PRI’s publications are concerned with developing sectoral knowledge and supporting its implementation. PRI is extremely strong on producing generalisable learning for the sector on substantive issues that has been shared with others. PRI does not have systematic information on how this learning has been used.

The PPA has greatly strengthened PRI’s learning structures. It has given PRI the funding to organise a strategic away day and more regular workshops with regional directors. PRI was unable to fund this activity before DFID’s support.

PRI does not currently have an evaluative culture and it does not have a systematic approach to measuring the results of its work. There are challenges in developing an evaluation system:

- Advocacy is less concrete than service delivery. Any service delivery in an advocacy programme is a means to an end not an end in itself.
- The scale of the programme is vast.
- Regional offices operate relatively independently, which has so far reduced the scope to produce consistent data.
- The timescale over which results can be expected to mature is long.
- Some of the data collection tasks, such as monitoring the application of the Bangkok rules, are vast and rightly the responsibility of other agencies.

We are familiar with the first of these challenges from our work evaluating the BEST-AC programme in Tanzania. When we started in 2007, there were similar concerns that advocacy could not be evaluated. We developed an evaluation framework in 2007 and have refined it since. In 2010 we started a five year flagship longitudinal evaluation of the BEST-AC programme funded by DFID which brings systematic techniques to advocacy programme. This evaluation has undoubtedly helping increase understanding of BEST-AC. For example, the programme is planning a third phase, contrary to the earlier stated intentions that it should end this summer.

6 RESULTS: LOG FRAME REVIEW

6.1 Introduction

This section addresses the section of the brief about performance against the logframe and relevance of the logframe.

6.2 Verification of logframe indicators

At the time of our review, two months after the Annual Review, PRI had met eight of the ten milestones and partly met two.

Figure 3: Verification of milestones

| Output 1: Key criminal justice stakeholders exposed to best practice in addressing prison overcrowding and alternatives to prison | | |
|---|--------|--|
| | STATUS | MOV |
| Indicator 1. No. of key stakeholders involved in discussions of evidence-based models of best practice | | |
| Milestone 1. 4 policy papers published; training manual on alternatives developed and tested | Met | <i>The ten-point plan to address prison overcrowding, 2011</i> <i>Paralegals in Rwanda: a case study, 2012</i> <i>Alternatives to prison in East Africa: trends and challenges, 2012</i> <i>The probation and parole system in Pakistan: an assessment and recommendations for reform</i> <i>A human rights training manual for prison officers in Sudan</i> <i>A multi-country initiative on human rights training for prison officers</i> |
| Output 2: Support for advocacy for the prevention of torture and the abolition of the death penalty | | |
| Indicator 2.1. Status of campaign to promote OPCAT | | |
| Milestone 1. Campaign to promote OPCAT and establish NPM launched in 3 regions/9 countries | Met | PRI drafted research papers on each of the countries. PRI organised 18 national and 3 regional events across the 9 countries. PRI carried out international advocacy. |
| Indicator 2.2. No. of publications on the death penalty and alternatives | | |
| Milestone 1. Information pack on death penalty and alternatives published and disseminated | Met | <i>March 2012:</i> <i>The abolition of the death penalty and its alternative sanction in Central Asia: Kazakhstan, Kyrgyzstan and Tajikistan</i> <i>The abolition of the death penalty and its alternative sanction in East Africa: Kenya and Uganda</i> <i>The abolition of the death penalty and its alternative sanction in South Caucasus: Armenia, Azerbaijan and Georgia</i> <i>April 2011:</i> <i>The Death Penalty Information Pack</i> <i>Alternative Sanctions to the Death Penalty Information Pack</i> <i>Life after death: what replaces the death penalty? April 2012</i> |
| Indicator 2.3. No. of capacity building events for CSOs working to prevent torture | | |

| | | |
|---|------------|---|
| Milestone 1. Network established; briefing paper on torture prevention mechanisms published; workshops in 3 countries | Met | The Together Against Torture civic society network was established as planned and now has over 200 members: see http://tortureprevention.penalreform.org/resources . 9 briefing papers: COPIES Workshops in Russia, Kazakhstan, Georgia, Ukraine, S Caucasus. |
| Output 3: Restorative justice based measures for children in contact and in conflict with the law promoted | | |
| Indicator 3.1. No. of key stakeholders reached with evidence-based models of diversion good practice | | |
| Milestone 1. 3 factsheets published; 3 consultative roundtables hosted | Met | <i>The ten-point plan for fair and effective criminal justice for children (Ten-point plan)</i> <i>A briefing on the African Committee of Experts on the Rights and Welfare of the Child and fair and effective criminal justice for children</i> <i>Independent monitoring mechanisms for children in detention</i> PRI hosted 3 roundtables, in Armenia and Jordan. |
| Indicator 3.2. No. of training materials and events delivered | | |
| Milestone 1. Programme of training established; publication of training manual; training delivered in at least 5 countries | Partly met | <i>Justice for children briefing no 1, December 2011</i> <i>Justice for children briefing no 2, March 2012</i> <i>Justice for Children Briefing No. 3, June 2012</i> Training manual is being developed and will be published later in 2012. PRI delivered training in 7 countries. |
| Indicator 3.3. Status of campaign to address issue of violence against children in police custody and pre-trial detention | | |
| Milestone 1. Partners identified in 10 countries; 2 reports prepared and disseminated; 3 seminars | Met | <i>Safeguarding Children in Detention: Independent Monitoring Mechanisms for Children in MENA.</i> <i>PRI Toolkit for Interviewing Children, their Guardians and Staff of Juvenile Detention Facilities.</i> <i>An Assessment of Juvenile Justice Systems in Algeria, Morocco, Jordan, Yemen and Egypt: the current situation and future opportunities.</i> PRI is working in 8 countries and has identified partners in 10. PRI ran 3 seminars in Algeria, Uganda and Switzerland. |
| Output 4: Tools and capacity relating to special characteristics and needs of girls and women in the criminal justice system developed | | |
| Indicator 4.1. No. of guidance notes/reports published | | |
| Milestone 1. Publication and dissemination of practical guidance on the Bangkok Rules; research methodology for assessment of compliance finalised and piloted in 3 regions | Met | Drafted after the Annual review but in time for our evaluation: <i>United Nations Rules on The Treatment Of Women Prisoners And Non-Custodial Measures For Women Offenders (The Bangkok Rules) Guidance Document, Tomris Atabay, 31 May 2012</i> <i>United Nations Rules on The Treatment Of Women Prisoners And Non-Custodial Measures For Women Offenders (The Bangkok Rules) Working Draft, Tomris Atabay, 31 May 2012</i> 1 pilot has started. |
| Indicator 4.2. No. of CSOs engaged in international network | | |
| Milestone 1. 1 international and 3 regional roundtables hosted; 2 e- | Met | PRI held an international roundtable, 3 regional roundtables and 6 planning roundtables. |

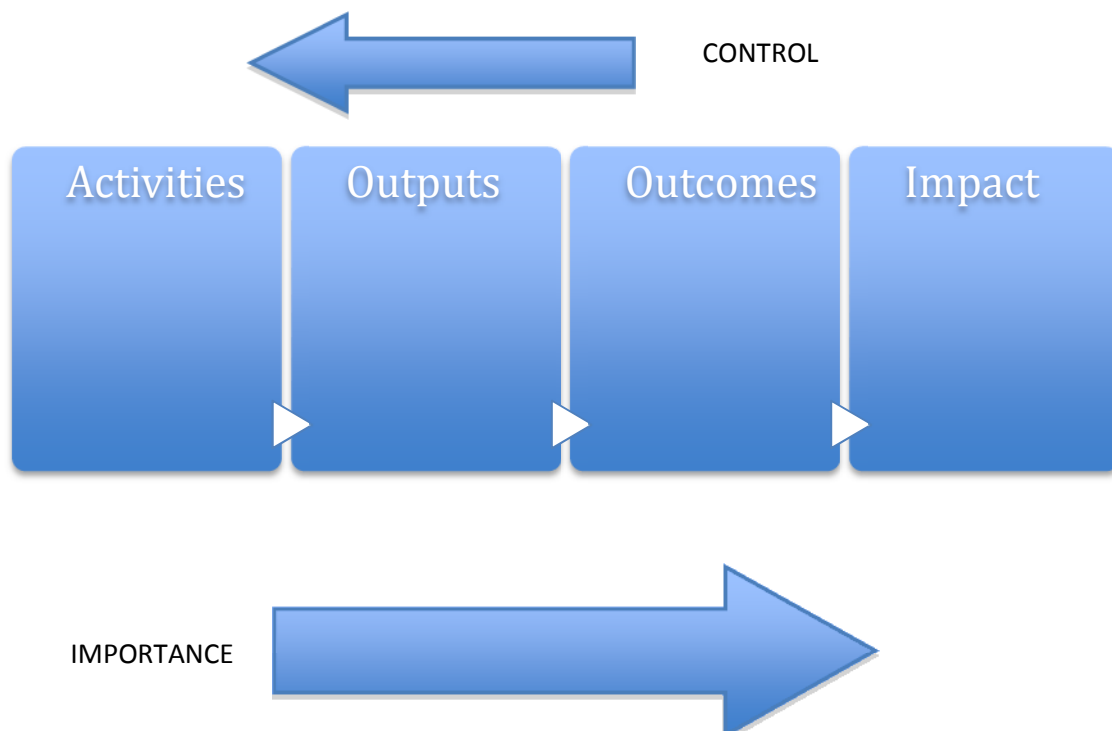
| | | |
|--|-----|---|
| bulletins; 6 roundtables hosted (minimum 5 persons) to discuss plans to advocate for the Bangkok Rules | | PRI published 2 e-bulletins: <i>Bangkok Rules Bulletin March 2012</i> <i>Bangkok Rules Bulletin December 2011</i> |
| Output indicator 4.3. No. of workshops delivered; no. of key stakeholders trained | | |
| Milestone 1. Curriculum developed based on the Bangkok Rules and tested in 6 countries in 2 regions involving 120 key stakeholders | Met | As for Indicator 4.2, the same events, the curriculum has been tested with 12 countries in 5 regions. |

Where publications are printed, 500 or 1,000 copies are printed. Where publications are printed in other languages 200 copies are printed. Many of the copies of the publications have already been distributed.

6.3 Comments on the logframe

PRI's logframe indicators have strengths and weaknesses that reflect the Evaluation Dilemma. Elements to the left hand side of a logic model are more concrete, more controllable by the organisation and therefore more fairly attributed to it, and faster to develop. The elements to the right hand side of a logic model are often intangible or complex, contextual, multi-causal and lagged. The Evaluation Dilemma is that the elements that are more difficult to conceptualise and measure are usually more important strategically: the difference between means and ends.

Figure 4: The Evaluation Dilemma



The strengths of PRI's performance measurement system for the interim stage of the PPA are that:

- The indicators are clear and unambiguous.
- The indicators are under PRI's control, cost effective to measure and can be reported within the timescale of the PPA programme.
- The indicators give a strong indication of the level of effort and work carried out under the PPA programme.

The weaknesses of PRI's performance measurement system for the PPA are that:

- Output-related indicators, such as number of publications or events, are relatively meaningless: they relate to means not ends.
- The current form of reporting does not capture PRI's skill or value.
- The log frame does not define the intended outcomes precisely.

The programme is core funding and therefore open-ended which means that PRI can report achievements from activities that were not originally intended as part of the PPA. This is not necessarily negative, it could be counted as added value.

PRI's final outcomes for the PPA, which tend to relate to the number of countries that ratify or improve their compliance with international standards, might be unrealistic given the relatively short timescale of the programme. Our intention is to introduce stronger evaluation of outcomes partly to measure distance travelled and partly to strengthen internal learning.

This structure doesn't suit advocacy. In service delivery programmes outputs such as training programmes can be, or can be treated as, ends in themselves. In advocacy outputs are invariably tactics or tools. Indeed advocacy programmes need the flexibility to adjust tactics and tools as circumstances change. It is arguable that this flexibility is needed for service delivery too: the difference for advocacy is that the need to change tactics tends to be more urgent and less predictable.

In April 2012 there was an exchange of emails between PRI and DFID about a more detailed approach to evaluation, which we endorse.

6.4 Conclusion

PRI has an important and distinctive role in supporting governments to implement international standards. There is an assumption that implementing standards will bring personal, social and economic benefits. PRI currently lacks systematic data to demonstrate the depth and breadth of this impact. However there is a strong understanding within advocacy that:

- Taking a positive and practical approach through dialogue is a strong form of influencing.
- Working through introducing systems is a cost effective, long lasting way of introducing widespread change.

PRI has a strong model of working. It would benefit from introducing a coherent approach to evaluation which captures the strengths but also the weaknesses of its approach. For example, being rooted in international standards means that the organisation has difficulty articulating a position in subjects without international standards such as private prisons or aging of the prisoners. Working directly with governments creates a valuable dialogue but is also difficult and sometimes uncomfortable. PRI would benefit from better articulating the lessons about its approach of working with governments. For example, how it avoids avoid being complicit in violations or whitewash.

PRI's current system of evaluation does not capture what is special about the organisation or what is achieved on the ground. It needs a more systematic approach that reflects the nature of advocacy. Given the enormous spatial breadth of PRI's work, this should be focused rather than comprehensive. The quality of the evaluation is paramount.

7 RESULTS: CASE STUDIES

7.1 Introduction

This section addresses the questions in our brief around changes in lives, additionality, sustainability and Efficiency.

7.2 The Kazakhstan office

7.2.1 Introduction

We chose this case study because:

- PRI has had an office in Kazakhstan for some time. The case study investigates the value of long-term engagement.
- Kazakhstan presents a difficult environment in which to work. The case study demonstrates PRI's skills in managing the challenges.
- We wanted to do a country case study to explore the way the different elements of PRI's programme act synergistically.

The key questions for the regional impact analysis are:

- Has PRI prioritised specific actions within the outcome areas? What is the quality of this prioritisation process?
- How far has PRI got on the journey towards the stated outcomes? What stages remain to be accomplished? How sustainable is any progress made?
- What are the challenges of each element of the PPA in the specific country?
- What approaches has PRI taken to achieve its objectives and deliver the intended outcomes? How is research used? What types of arguments it is using, with whom? What relationships does it have with organisations it is seeking to influence? Does it have credibility with those it is seeking to influence? Are the approaches it uses cost-effective? How does PRI work with peer organisations?
- What are the synergies between the PPA programme and PRI's other work?
- What are the synergies between PRI's work and other DFID funded projects?

7.2.2 Background

Kazakhstan has 93 penitentiary institutions, 20 of which are pre-trial detention centres and 73 of which are correctional colonies (including three colonies for women and three colonies for juveniles).

7.2.3 Baseline

As at March 2011 Kazakhstan had:

- A prison population of 62, 997 and an imprisonment rate of 400 per 100,000.
- 6.7% of the prison population female.
- 0.9% of the prison population under 18.
- Signed or ratified CAT and OPCAT.
- No version of the Bangkok Rules in local languages.
- Committed to abolition of the death penalty for ordinary crimes only.
- 263 cases of torture in 2010 based on the report of Coalition of NGOs Against Torture.
- 99 officials facing disciplinary punishments for torture and a further 10 officials under the criminal process.
- Separate juvenile courts.

PRI identified problems of lack of transparency and openness, in part a legacy from the Soviet era.

The prison population has decreased, with Kazakhstan moving from 3rd place in 2001 (as assessed by the World Prison Brief prepared by the International Centre for Prison Studies), to 32nd in 2012.

7.2.4 Death penalty

The death penalty is contrary to the constitution of Kazakhstan but remains part of the criminal code as a penalty for offences of a terrorist nature and for certain offences during time of war. A moratorium on the death penalty was issued in 2004. Since then 30 prisoners have had their sentences commuted to life imprisonment and no death sentences have been given out subsequently.

PRI organised for local stakeholders to take part in an international conference in London on the death penalty in September 2011. Two representatives (from the Constitutional Council and a civil society body) took part in the conference and made recommendations for change. These recommendations led to suggestions about changes and amendments on provisions for life imprisonment in the draft Criminal Code.

PRI is delivering an advocacy campaign on the death penalty. As part of this, PRI produced a film on the death penalty in Central Asia. The film was screened in October 2011 at Kazakh Humanitarian University in Astana at a student debate devoted to World Day Against the Death Penalty and on Human Rights Day on December 10 2011 at the Sary-Arka cinema.

In January 2012, PRI published a report on *The abolition of the death penalty and its alternative sanction in Central Asia: Kazakhstan, Kyrgyzstan and Tajikistan* which comments that: The 2009–2012 National Human Rights Action Plan of the Republic of Kazakhstan, which has been approved by the President, sets out that one of its goals is to abolish the

death penalty. The report makes 24 recommendations for the region and 12 for Kazakhstan in particular which have been fed into the process of redrafting the Criminal Code.

Our interviews with Members of Parliament Svetlana Bychkova and Aigul Solovyeva as well as Nurlybek Abdraimov from the General Prosecutor's Office suggested that PRI has played a significant role in the national debate on the issue organising conferences and round-table discussions. They have brought to the debate international knowledge and experience as well as reference to UN declarations supporting abolition of the death penalty as an aim not only of PRI but other NGOs and international bodies.

The revision of the criminal code may bring further clarification on the issue within Kazakhstan but it is unlikely to bring about complete abolition. There is great concern within the county about terrorist acts of which there have been some high profile activities. Concerns about the spread of radical Islam and associated terrorist activities are high on the political agenda and in such a climate it is likely that whatever happens within the criminal code the option for the death penalty within the context of anything defined as war or terrorism will remain. At the highest political level there may be a move towards abolition for international reputational reasons but such developments are unlikely to come from the influence of PRI or NGOs.

Kazakhstan is likely to see an increase in prisoners serving both natural life sentences and very long sentences in excess of 20 years. In the immediately term Ministerial officials have eschewed what they consider to be solitary confinement for such individuals citing the fact that they are housing two or four natural life sentences prisoners in one multi-occupational cell, with a restricted regime. Exceptions were cited when one offender has killed another. There are therefore implications for de facto imprisonment in solitary confinement. Officials also raised the issue of a separate facility for such prisoners and those sentenced for terrorist type activities which might include relatively short sentences for planning or peripheral involvement in terrorism.

7.2.5 Torture

PRI's main priorities in its anti-torture work are in establishing NPM, strengthening the public oversight system, and advocating for the rehabilitation of victims of torture.

PRI started lobbying for the ratification of OPCAT in 2008 and since that time Kazakhstan ratified OPCAT. PRI helped establish a working group, including representatives of civil society groups, on drafting NPM law under the Ministry of Justice. PRI has also organized meetings and roundtables to discuss the draft law and hear presentations from experts. This led to revisions to the draft law. An amended draft law was finalized and submitted to the Parliament in April 2012.

PRI continues to work on the draft law in the Parliament. It has contributed to around ten meetings of a working group established in the lower chamber of the Parliament (Majilis), and has suggested a group of NGOs to be included in the group. PRI has also provided a set of expert papers. However the biggest impact of PRI's work is in involving SPT in the process of discussing the NPM draft law. The Ministry of Justice misused a letter of the SPT in the working group and to avoid that happening again PRI has drafted the letter to the SPT to

clarify the position on NPM draft law. This helped to change the position of the Ministry of Justice.

PRI has provided support to strengthen the public oversight system:

- PRI provided small grants to 10 Public Monitoring Commissions (PMCs) to carry out monitoring visits in prisons. 134 visits were carried out by PMCs between January and April 2012.
- PRI paid for the annual reports of PMCs to be printed.
- PRI delivered six workshops for prisoners and for staff.
- A brochure on prisoners' rights was developed and published.
- A manual on monitoring of closed institutions was drafted by Public Monitoring Commissions and printed and disseminated among all PMCs.
- PRI provided advice on the consolidation of PMCs. This led to the establishment of a coordination council of PMCs.

Our local interviews suggested that this work still has far to go. Whilst PMCs have been supported financially, ideologically and ethically by PRI they seem relatively ineffective. At least two municipalities were identified as having withdrawn their PMCs although it was not possible to investigate why this had taken place. Even a fully operational PMC would only have nine members visiting prisons housing up to 3,000 prisoners, and only on a monthly basis, which means that even the most articulate, confident and healthy prisoner would have difficulty complaining. Barriers to the vulnerable, sick or mentally ill complaining would most likely be insurmountable. There is an Ombudsman who is appointed centrally but who has very limited resources.

On the subject of rehabilitation of victims of torture, PRI organized a study visit to Medical Foundation and ToT in Almaty.

In May 2011, PRI attended a presentation of a UNICEF report on violence against children. The issue of torture prevention was prioritised by the Ministry of Education as a result. This helped to attract attention to the issue of public control of child institutions. Before that it was presumed that torture is the issue of prison system only. After the research PRI CA received the additional arguments for including child institutions into the draft law on NPM.

PRI organised training for deputy chief prosecutors of the regions in cooperation with OSCE Center in Astana on torture prevention in order to disseminate the results of anti-torture work.

In July 2011 PRI delivered research training to experts on torture prevention issues. There were nine participants from all three Central Asian countries: Kazakhstan, Kyrgyzstan and Tajikistan. Recommendations were drafted for each of the countries. This conference led to the drafting of instructions on monitoring of closed institutions by PMCs, mentioned above.

In September 2011, PRI worked with the Coalition of NGOs Against Torture on a Regional Forum on Torture Cases Investigation. Overall 66 representatives of state bodies, NGOs, independent experts and representatives from other parts of the CE region took part,

including chairs of Public Monitoring Commissions (PMCs). Recommendations were disseminated among main stakeholders and during OSCE HDIM.

In July 2011, PRI organized, in cooperation with the Medical Foundation, a study visit to London for five doctors from the CA region on the rehabilitation of victims of torture.

In October 2011, PRI participated in a monitoring visit of the Anti-torture Council to four closed facilities in Shymkent, under the Ombudsman. As a result recommendations for improvement were drafted. Subsequent visits were organised to Almaty and other regions.

In March 2012, PRI trained human rights activities to do monitoring of prisons.

In April 2012, 134 visits were carried out by PMCs. PRI delivered six workshops trainings for prisoners and for staff. A brochure on prisoners' rights was developed and published.

PRI has been working with the UN subcommittee on torture in Kazakhstan, working with the SPT on the issue of NPM draft law. Recommendations from this process will be adopted by the end of this year.

Our interviews with Members of Parliament Svetlana Bychkova and Aigul Solovyeva as well as Nurlybek Abdaimov from the General Prosecutor's Office suggested that PRI has increased the government's priority to abolishing torture. The Government does not want to be seen as endorsing or permitting torture and PRI has built on the fact. In addition, PRI has incorporated its concerns on torture within its contributions to the new criminal code and it is likely that the new code and the NPM will have declarations, guidance and laws to prohibit torture.

7.2.6 Women

Kazakhstan imprisons women at an exceptional rate. Women comprise 17-18% of the aggregate prison population and the rate of imprisonment for women is increasing at 3% each year. However, Kazakhstan only has four women's prisons scattered across the vast country. Women are often incarcerated far from home and without the family support prisoners rely upon (clean clothes, food, medicines etc.). Overcrowding, poor living conditions, poor food quality and lack of medical care mean that rates of TB are 10-15 times higher for inmates than for the civic population. Rates of HIV are 49 times higher than for the civic population, in part because female prisoners are often commercial sex workers or drug users. PRI figures suggest that, in 2010, 47% of the female prison population was addicted to drugs.

PRI is delivering a health project on Improving Health in Women's Prisons in 2011-2013, in partnership with Credo, part funded by the EU. The elements of the project are:

- **Research.** PRI has carried out two research studies.
- **Training.** PRI has delivered training to 460 women prisoners/almost all women-prisoners in prisons of Karaganda and Western Kazakhstan. This included lectures on HIV/AIDS and TB prevention, transmission and treatment, and preparation of separate literature for nurses and prisoners. The training was given by doctors and a training video had been

produced for nurses. The programme was given to all women in two institutions: one in Karaganda and another in Eastern Kazakhstan.

- **Patients' schools.** These included individual consultations, video watching and group discussions. 108 women then took part in patients' schools.
- **Discussion.** In June 2011, PRI organised roundtables on the rehabilitation and social adaptation of prisoners after release with the aim of increasing coordination of services to prevent TB and HIV. PRI has held meetings on the social rehabilitation of women after release with officials in Karaganda region.
- **Conference.** In September 2011, PRI ran a conference on Transfer of Medical Prison Services to the Ministry of Health in the light of recommendations of Bangkok rules. The purpose of the conference was to discuss questions of health protection of women-prisoners, reforms of prison health services and the challenges which impede the provision of medical services within the prison system. Representatives of state bodies, NGOs, academics, experts and representatives of international organizations participated in the conference.
- **Dissemination.** In August 2012, PRI helped organise a conference on 'Prevention of HIV and Reduction of Harm in the Prisons of Kazakhstan.' Zhanat Keshubayev, the deputy head of the penitentiary department at the Minister of Internal Affairs, took part, and presented figures that 1,600 of all prisoners in Kazakhstan are HIV infected.

Our interviews with Credo gave a clear picture of the challenges of delivering this kind of project locally:

- Health statistics were not available to Credo so they delivered the training to all women in the two prisons regardless of their state of health and status in the criminal justice system rather than concentrating on newly sentenced or prisoners about to be released.
- Delivery of the training was by and to existing staff. The programme provided for the production of the information but not for additional specialist staff for delivery.
- We were given figures for the Karaganda colony of: 5% with HIV; 11% with syphilis and 54% with Hep C. As the institution was set up many years ago by the Russians in colonies distinct from communities it is difficult to make comparisons for the general population.
- Conditions in prisons are poor. The government accepted that HIV was been contracted in custody but the level of the problem and infection trends were not clear. Women with drug problems were not receiving treatment such as methadone maintenance and there was no policy of needle exchange. In addition as with most of the prison population dormitory conditions prevailed and it was highly likely the sharing of needles was common and the management of TB and Hep C lacking.

The Credo project underlined a wider problem within the system of health, not only for women, but for the entire population. The absence of a comprehensive and regularly updated morbidity study of the prison population makes health problems, trends in infection and the efficacy of any treatment impossible to assess. Like many jurisdictions the health of prisoners in custody lies with the (now) Ministry of the Interior. Ministry of Health Officials said there was an aim to transfer the responsibilities for health to them, in part because of PRI's influence but there is no timetable for this.

The project has not yet been evaluated. It ends in December 2012 and an evaluation is planned for January 2013. None of the NGOs or other organisations has taken up or copied this project, which we were told remains the only project currently running in women's prisons in Kazakhstan.

7.2.7 Children

In July 2011, PRI organised, in cooperation with UNICEF and Ombudsman, a summer school to train NGOs in the monitoring child institutions. There were 20 participants. Monitoring was piloted.

In January 2012, PRI published a manual and toolkit for Independent Monitors of Juvenile Detention Facilities with the aim of reducing torture. The manual is published in English and Russian. The manual explains:

- **The purposes of inspection.** Prevention, documentation, reporting, and serious incidents.
- **Principles for inspection.** Do no harm, know the standards, respect the authorities, avoid raising expectations, maintain confidentiality, maintain security, consider the sensitivity of the issues with the interviewees, be objective and be transparent about methods.
- **Types of monitoring.** Judicial monitoring, inspections, complaints procedures, civil society monitoring, regional mechanisms, international mechanisms.
- **The processes of inspection.** Planning and information gathering, what to inspect, how to interview children, writing inspection reports, organizing follow up visits.
- **Examples of good practice.**
- **Resources** such as sample questionnaires.

The manual is used by NGOs and Ombudsman staff.

7.2.8 Other

PRI has participated in, or organized, other meetings:

- Meeting of the Commission on Human Rights under the President of Kazakhstan in May 2011.
- Meeting with Anne Jakobsone, EU political officer, in PRI CA office in May 2011.
- Conference on Future of Penal System in Astana in November 2011. Organised by PRI, OSCE, OHCHR, LPRC and SFK and delivered by international experts (Paul English and Rob Allen) and national experts on penal law, extremism and PMCs.
- Meeting with the Deputy Head of Penal Committee Talgat Akhmetov with Andreas Skulberg, 22 May 2012.

7.2.8.1 Rehabilitation

In January 2012, PRI launched a new project on re-socialisation. The press conference was widely covered in the media, in part because of the draw of having ex-prisoners telling their stories.

In 2010 all rehabilitation work with ex-inmates transferred from the Penal Committee to Akimats (municipals). The existing three rehabilitation and adaptation centres for ex-inmates in three regions of Kazakhstan were closed. Akimats were also given a jobs quota for ex-prisoners at a rate of no more than 5% of total.

The project has these elements:

- **Small grants.** In February 2012 PRI announced small grants to support NGO's working on rehabilitation of ex-inmates, and 19 different NGO's applied for these grants. In March 2012, five organizations from Northern Kazakhstan, Karaganda, Almaty, Kyzyl-Orda and Pavlodar received small grants for piloting of re-socialization work. In April 2012, work started: a halfway house in Karaganda region has started agricultural work; Kyzylorda region is developing a work place in a halfway house; Almaty region is introducing monitoring of youth colonies regarding their identity and registration documentation. Pavlodar region is compiling information on in-mates due to be released soon, to help them to get a social passport; Petropavlsk region is establishing a job agency to help ex-offenders find jobs.
- **Research programme.** In February 2012, PRI ran a round table in Astana with 55 participants, representatives of municipalities and NGOs, to raise the issue of re-socialization and gather information from the regions.
- **Training.** On 18 April 2012, PRI delivered one day workshop, with the support of the Norwegian Embassy in Kazakhstan, on rehabilitation of prisoners, attended by around 30 representatives of local municipalities (Akimats), government ministries and agencies and civil society. The workshop was divided into three sessions, each led by an international expert: Martin Seddon from the UK, gave an overview of practical services to reduce reoffending, based on experience in European countries. Oleg Dymaretskii from Ukraine spoke about the work of the charitable organisation Svitlo Nadii ("Light of Hope") and their rehabilitation programme; Elena Gordeeva, spoke about the rehabilitation work of her organisation, the Centre for Promotion of Reform of Criminal Justice in Russia with juvenile prisoners. Discussion raised the issues of encouraging take up of support, funding work, and improving coordination between state bodies.

Two municipalities had already opened re-socialisation centres, with two more in the pipeline.

Our interviewer, John Podmore visited a 'half-way house' south of Karaganda, occupied by two recently released prisoners with space for two others. The manager was a former prisoner now working for Credo, previously trained as a priest. He informed us that there had been two houses originally but a reduction in funding meant that only one was now viable. We were informed that the cost of board and lodging was approximately \$2,400 per person per year. This did not include mentoring support and was based on the production of some food by residents themselves and there were plans for income generation through

the raising of animals and the growing of crops. Given the extreme cold in the winter (as low as -50) the cost of fuel was a very significant factor. The manager used his own car to visit prisons who sent individuals. The PRI contribution to the whole project was \$8,000 pa. There were as many as nine institutions in the area plus one women's prison with a total prisoner population of up to 10,000. We were informed by the manager that prisoners would come from any security category, some potentially direct out of high security and that prisoners would nominate themselves having heard about the project by word of mouth. The manager informed us that over two years he had supported 40 men and 10 women through the two facilities and that only five individuals (three women and two men) had come back to prison. He ran his own monitoring system keeping track of those moving through the houses.

Whilst such houses provide valuable accommodation, finding work was difficult. One municipality issued quotas (5%) for the employment of offenders and we were told that one would subsidise wages by up to 50% but employment opportunities were rare and the health of some released prisoners, as well as their age, mitigated against inclusion in the wider working population.

Lubov Makasheva, Head of Resocialisation Centre, Head of department of employment and social programs, Shymkent City told us about a larger re-socialisation project in Shymkent City, the third largest city in Kazakhstan with a population of 714,000. A centre for former prisoners had been established in 2011. Work for this project started with prisoners before release and involved ex-prisoners as effective mentors. We were told that 20% of prisoners being released had nowhere to live and many had lost contact with their families. Problems of registration with relevant authorities were dealt with alongside employment training. There had been insufficient time for the compilation of statistics around employment and reconviction. The head of the project acknowledged the role of PRI in helping them set up the project and assisting them in fully understanding the incarceration environment. PRI had also provided training. There was some assistance from government in the form of subsidy and training for prisoners but the full extent of state investment was not possible to properly assess.

The re-socialisation projects were therefore addressing only the very tip of the iceberg. Officials however, spoke widely about the importance of re-socialisation and it was clear that PRI in conjunction with NGOs like CREDO had done much to promote the agenda. The nature of the state and economy however appeared not to embrace a value for money debate in such matters which in many other jurisdictions, can, ironically supersede the humanitarian debate.

7.2.8.2 Drafting legislation

Late in 2011 it was publicly announced that the Presidential Administration, General Prosecutor office and the Penal Committee started the process of drafting totally new criminal justice codes: Criminal Code, Criminal Procedural Code and Criminal Executive Code. At the meeting on December 9, 2011 in Almaty the Chair of the Constitutional Council of Kazakhstan Igor Rogov suggested all academics, international organizations and interested parties to send their suggestions on coming documents to the working group under the Presidential Administration. The process of drafting new codes was limited by the period of two years: 2012 and 2013.

PRI is involved in drafting three laws:

- **Creation of a National Preventative Mechanism (NPM)**, aimed at the prevention of torture and other cruel, inhuman and degrading treatment or punishment. After discussion, an ‘Ombudsman Plus’ model was agreed upon. Proposals were sent to the UN Subcommittee for the Prevention of Torture and a working group set up to ensure the draft law meets international standards. In draft form the law had several weaknesses (e.g. psychiatric, juvenile and military institutions do not fall under the jurisdiction of the draft law; the funding model is by means of state social procurement from the national budget; the mechanism of interaction/subordination with each of its subdivisions is not prescribed). The draft law on NPM was included into the Legislation Action Plan on the first quarter of 2012. In September 2011, PRI ran a side-event on NPM in Kazakhstan during HDIM OSCE.
- **On public monitoring of places of detention.** It is planned to develop the law around the NPM and expand the power of the Commissioner for Human rights.
- **Amending the criminal, criminal-procedural and the criminal-executive code.** PRI is working with the Ministry of Justice. The draft law will humanize the system of punishments, decreasing the term of incarceration for some crimes and decriminalizing some crimes). PRI is working with the General Prosecutor’s office and the Committee of the penal-executive system (Prison Committee). Timescale to complete the process has been delayed to 2015.

7.2.8.3 Reducing the prison population

In January 12, 2012 PRI ran an on-line conference with chairmen of public monitoring commissions to prepare proposals to improve the penal enforcement system and reduce the prison population (Astana).

Recommendations on future development of penal system and decreasing of prison population were drafted and submitted to the Ministry of the Interior and the Presidential Administration. Recommendations on early release have already been implemented. This conference also helped build the case to draft a new Criminal Code was taken.

7.2.8.4 Defining detention

PRI was asked to advise the Chairman of the Constitutional Council of the Republic of Kazakhstan, in the process of expert analysis on calculation of constitutional periods of detention provided by paragraph 2 of Article 16 of the Constitution of the Republic of Kazakhstan.

7.2.8.5 Prison statistics

Each January PRI writes to all prison service bodies in Central Asia to enquire about various prison statistics. This underlines a major problem in the provision of statistics across the area. Government bodies purport to collect them but there are no reliable compilations. Any stats used should be done so with care and significant trends examined closely and if possible compared to other data sources.

7.2.8.6 Overall approach

In August 2011 the government issued an announcement proposing to a transfer of authority for Kazakhstan's penitentiary system to the Ministry of the Interior in September 2011. PRI immediately issued a press statement criticising the move as inconsistent with the modernisation and the demilitarisation of the penitentiary system: "PRI strongly believes that a penitentiary system should be governed by judicial authorities and separate from agencies involving policing or military functions," "It is worrying that rather than modernising its penitentiary system, Kazakhstan seems to be moving backwards." In 2002, responsibilities for prisons had been transferred the opposite way, from the Ministry of Internal Affairs to the Ministry of Justice, implementing recommendations by the UN Committee against Torture. Criticism of the Presidential decision resulted in the prison service being given independence from the Ministry of Interior, but this is the only positive result of this work. PRI is organizing a television broadcast on the issue of the transfer of the prison system back to the Mol, to examine experience one year after the transfer.

Our local interviews showed that there is high level government interest in the position of Kazakhstan in the international incarceration 'league tables' and the country's movement downwards from 3rd in the world to 30th is valued. There appears to be, however some underlying data which highlights a problem which might manifest itself in a reversal of the incarceration trends. We were informed that of all those in the Kazakh Criminal justice system 78% are incarcerated with 22% in other sanctions. 1997 was a time of high criminal activity following independence from the Soviet Union which precipitated a change in sentencing within the criminal code from a 3 month to 10 year range, to 6 months to 15 years which has since been extended to 25-30 years. With the moratorium on the death penalty this maximum has been effectively extended to natural life. A hard core of very long sentences therefore exists and the trend is likely to continue. The reduction in numbers appears to have resulted from the removal of minor property and financial crime from the criminal code, offences which many jurisdictions are unlikely to have incorporated in the first place. In addition, an amnesty for such offenders has artificially affected the incarceration rates. We were informed by independent academics that alternative sanctions were badly implemented and even then across only a small minority of offenders. The criminal code did not allow for unpaid work. It was decreed that all work should be remunerated which meant that alternative sanction involving employment were not taken advantage of as outside employers would prefer non-offenders if they were required to pay 'real' wages. There appeared to be no equivalent of treatment and training orders or any real implementation of restorative justice, with adults or young offenders. In addition we were told that that amongst some 1,400 probation officers only four official cars were allocated.

The net result may well be that the population reductions will not continue and that even worse there may be a cohort of individuals on the margins of incarceration that have been temporarily deflected but which may well in the near future be caught up again in imprisonment. Coupled with the concerns of terrorism and radicalisation, pressure on the system may increase markedly.

The work of PRI in a very closed and highly politicised system has been important and with limited resources it continues to highlight these issues within a wider international human rights agenda. PRI appears to be an organisation within Kazakhstan which is of high

reputation and value amongst government, academics, NGOs and the international human rights community. It has done significant work to broker positive relationships between all of those sectors. Much of the work has been at the macro level involving the organisation of seminars and round-tables and the issuing of subsequent papers and recommendations. These have significant currency amongst their partners and many provide an important framework for future partnership working. We were told and would concur with the view that one significant component missing in such work was the prison guard / prison officer. Many of the individuals we spoke to felt that such involvement had potentially very significant operational effect. Prison officers clearly have most day to day impact on and relationship with, prisoners. They are also the primary source of any underlying culture. Embedding a human rights agenda in an establishment means embedding it first of all within a staff culture. Prison staff provide the greatest continuity of contact. We were told that strategic discussions in PRI examined the balance between high level national agendas and local projects together with high level outcomes and local outputs. In the overall measurement of the effectiveness of the PPA it is recommended that such a balance be evaluated more closely in Kazakhstan to ensure that high level political commitment has an effective impact on individuals. Within the context of this evaluation evidencing positive benefit to individuals at a local level was far more difficult than evidencing high level involvement in influencing at national and international level.

7.3 Standard Minimum Rules

7.3.1 Introduction

We chose this case study because:

- International advocacy might be considered the most difficult part of PRI's work to evaluate because it is behind the scenes and influence is indirect. We wanted to demonstrate that even this element was amenable to precise, quantitative evaluation.
- International advocacy is particularly difficult to fund. PRI would be unable to carry out this work without the PPA money.
- International advocacy demonstrates the additionality from PRI's work. There are quite simply no other organisations that can work in this way at this level.

7.3.2 Background

The Standard Minimum Rules for Treatment of Prisoners (SMR) date back 55 years: the version in use today was adopted by the First United Nations Congress on the Prevention of Crime and the Treatment of Offenders and approved by the Economic and Social Council in 1957. In December 2010, the United Nations General Assembly adopted a resolution asking the United Nations Crime Commission to set up a working group on how to carry out this review.

In October 2011, experts were convened by UNODC in Vienna for a consultation on the review and on a draft commentary drafted by Professor Andrew Coyle. Experts expressed concern over the redrafting of the SMR because of the time it would take and the risks of undermining the integrity of the current rules and their international standing, or to leaving

a hiatus without standards. Medical experts, gathered at a conference of the World Health Organization on Health in Prisons in Abano, Italy, also commented on the draft commentary.

SMR are important because they are relatively comprehensive, and also because awareness is very high internationally. Many countries have copied the SMR into their national prison rules.

DFID funding gave PRI the time to analyse the existing framework and gaps, and to suggest ways forward. PRI concluded that it would be possible to go for a very selective revision, to identify the areas with a pressing need and only revise those. This would be faster, easier and less risky: it wouldn't expose all the rules to re-negotiation. PRI called this 'targeted changes'. PRI would not have been able to do any of this work without core funding from DFID: it is freestanding work, not in any programme.

Andrea Huber, Policy Director at PRI emphasises: "This is a one-time opportunity to review the SMR. There probably won't be another opportunity for another 55 years."

7.3.3 Description

This kind of international advocacy takes time. These are the stages so far:

PRI prepared a **food for thought** paper for the Expert Meeting in Vienna in October 2011 to which PRI's Policy Director was invited by UNODC. This observed that: "In their general provisions in part I and part II section A, for a document dating back to 1955 the Standard Minimum Rules provide a surprisingly reasonable general standard even today, although there is room for improvement". However, improvements not yet mirrored in the SMR include references to newer standards for women and children, expanding the scope of the rules to all people deprived of their liberty, removing anachronistic language (e.g. reference to 'insane and mentally abnormal' persons). The paper lists examples of where more recently adopted standards could inspire modern Standard Minimum Rules.

The Expert Meeting in Vienna discussed the draft commentary prepared by Professor Coyle, and considered that 'targeted changes' constituted an option that should be suggested to the inter-governmental Expert Meeting (IEGM) scheduled in January 2012, and hence covered in the preparatory document drafted by UNODC for this purpose. PRI was invited to outline its suggestions in more detail.

Accordingly, PRI prepared a **targeted changes paper** and submitted this to the UNODC, who included it on the agenda for the inter-governmental meeting (IEGM) in January 2012. The paper argued that: "At the meeting of experts in Vienna in October 2010 it became apparent that there are specific existing Rules that have become entirely inadequate. There are also gaps that are unacceptable in a modern set of standards of this kind. The UNSMR is the key document most often referred to as a primary source of standards. It therefore seems unthinkable that these Rules should pass through a process of review without being amended and supplemented. Moreover, the proposed amendments are likely to enjoy consensual support as they reflect current standards, and best practices developed since the adoption the UNSMR." The paper suggested nine essential changes: referring to the treaties and standards adopted since 1955, broadening the scope of the rules, specifying general principles, updating health care provisions, reconsidering disciplinary punishments,

increasing access to legal assistance, recognising advances in independent inspection, providing for prisoners with a mental illness or disability, as well as reviewing terminology throughout.

PRI wrote to delegations ahead of the Vienna meeting, drawing attention to the issue and to a precedent for a targeted changes approach, and submitting PRI's papers. PRI also coordinated NGOs, organising phone conference calls and a meeting to discuss advocacy for the IEGM. The Policy Director presented PRI's considerations and approach to the FCO at a meeting in London in December 2011.

A **background note** drafted by the UNODC Justice section for Vienna, 31 January-2 February 2012 presented four options: a complete restructuring and substantive redrafting of the Rules, restricting the substantive redrafting of the Rules to an essential minimum, adding a binding instrument obliging States to ensure certain standards are in place, or retaining the Rules and adding a preamble and notes, while concentrating on implementation.

At the **IEGM** a significant group of states were initially opposed to, or reluctant to enter, any discussions about 'opening' SMR for change. These voices were balanced by the Group Latin America and Caribbean, led by Brazil, who embarked on the option of targeted changes and were very supportive in their statements. The IEGM finally adopted a report including the following recommendation: "There was (...) a consensus that any changes to the SMR should not lower any of the existing standards. Bearing this in mind, the intergovernmental Expert Group recognised a need for some areas of the SMR to be reviewed and identified and sharing the following preliminary areas for possible consideration in order to ensure that the SMR reflect recent advances in Correctional Science and Best Practice". The recommendations then listed nine areas from the discussion. The delegate from Argentina informed the meeting that his country would finance and host an Expert Group Meeting.

Following the IEGM PRI drafted a **report** to inform other civil society organisations of the discussions and outcome of the IEGM. PRI organised another phone conference call ahead of the Crime Commission, taking place in Vienna from 23 to 27 April 2012. In order to allow for CELS, the NGO in Argentina whose engagement was vital for advocacy around the IEGM to attend the UN Crime Commission, PRI used DFID funds to cover the travel costs of a CELS staff member. This had a broader effect of increasing the capacity of this organisation to advocate in the context of the UN bodies in Vienna.

Ahead of the Crime Commission PRI coordinated a **joint NGO submission** (PRI, Amnesty International, CELS, Conectas, Humanas and FWCC) on the review of the SMR, and translated it into various UN languages, which emphasised that: "This group of NGOs considers it unthinkable that the Rules should pass through a process of review without being amended and supplemented at least in its most outdated areas. This group of NGOs also believes that a commentary, while certainly useful, would not, by its very nature, suffice in assuring the compatibility of the Rules with modern standards. NGOs have also argued that the flaws and gaps of the SMR are even more problematic given they are often referred to as a primary source of standards relating to the treatment in detention. In many countries, the SMR are the only standards available to prisoners regarding their treatment in detention and in other countries the Rules are used as the "blueprint" for national prison rules." PRI also made a statement at this meeting.

Based on the recommendations of the IEGM, UNODC and the chair of the IEGM drafted a **resolution**, which was submitted to the members of the Bureau, so that these States, or some of these States, could sponsor the resolution. The resolution was tabled at the UN.

PRI persuaded Thailand, Argentina and Brazil to sponsor a **side event** on the “Standard Minimum Rules for the Treatment of Prisoners: 55 Years on” on 23 April 2012 in order to allow for the delegate of the Commission on Crime Prevention and Criminal Justice (CCPCJ) taking place in Vienna from 23 to 27 April 2012. PRI assisted the delegations in organising the side event.

Following discussions, changes and amendments, the plenary of the Crime Commission adopted the **Resolution** “Standard Minimum Rules for the Treatment of Prisoners” on 27 April. It extended the mandate of the IEGM and repeated the list of preliminary areas as identified by the IEGM for possible consideration, which mirrored to a considerable extent PRI’s analysis. The resolution was sponsored by Argentina, Brazil, Italy and Thailand and co-sponsored by Albania, Chile, Croatia, Dominican Republic, Ecuador, El Salvador, Germany, Lebanon, Norway, the Philippines, South Africa and Uruguay. The resolution stated that some areas of the SMR “could be reviewed so that the Rules reflect the latest advances in correctional science and good practices, provided that any changes to the Rules would not lower any existing standards.”

Following its adoption by the UN Commission on Crime Prevention and Criminal Justice the resolution was passed on to the UN General Assembly, to be tabled for the 67th Session in autumn 2012.

PRI is **preparing** for this meeting in various ways, continuing to engage in the coordination of NGOs. PRI initiated the drafting of a joint NGO briefing paper, outlining the process, in order to approach state delegations and UN bodies. UN treaty bodies and Special Procedures were informed of the ongoing process and encouraged to submit their considerations and experience regarding outdated provisions of the SMR. As a result of this initiative, the UN Subcommittee on Torture has constituted a working group on the SMR.

Given the size and setting of the IEGM, scheduled for 11 to 13 December 2012 in Buenos Aires, PRI considered that in order to allow for a productive discussion it would be beneficial to produce substantial input ahead of this meeting. Therefore, in cooperation with Essex University and using DFID funds, PRI co-hosted an expert meeting in Colchester on 3-4 October 2012, bringing together relevant international academic, NGO and independent experts. An outcome paper will be produced and translated in UN languages to be shared with state delegations ahead of the IEGM in December.

PRI also continues to liaise with UNODC and the delegations leading on the resolution, and undertakes further advocacy initiatives in Geneva and Vienna. NGOs are also encouraged and coordinated in writing papers explaining why certain rules have become inconsistent with international standards to argue suggestions for change.

7.3.4 Evaluation

We have followed a version of the critical success factor approach to attribution suggested by Davies¹, which recommends surveying stakeholders to find out their views on the importance of a potential contributor to the success for an advocacy campaign. We identified possible interviewees with PRI, being careful to include those critical of PRI's approach as well as allies. Interviewees were asked to help with the evaluation, either by completing the questionnaire online or in a telephone interview. The questionnaire asks different questions all designed to give a view on attribution. We had eleven responses across the online and telephone survey. These came from the UN, NGOs and states.

Respondents don't know whether PRI came up with the idea of targeted changes. Almost everyone thinks they have developed the idea, raised its profile, added depth to the discussion and raised support. It is too early to fully judge their impact on decision makers.

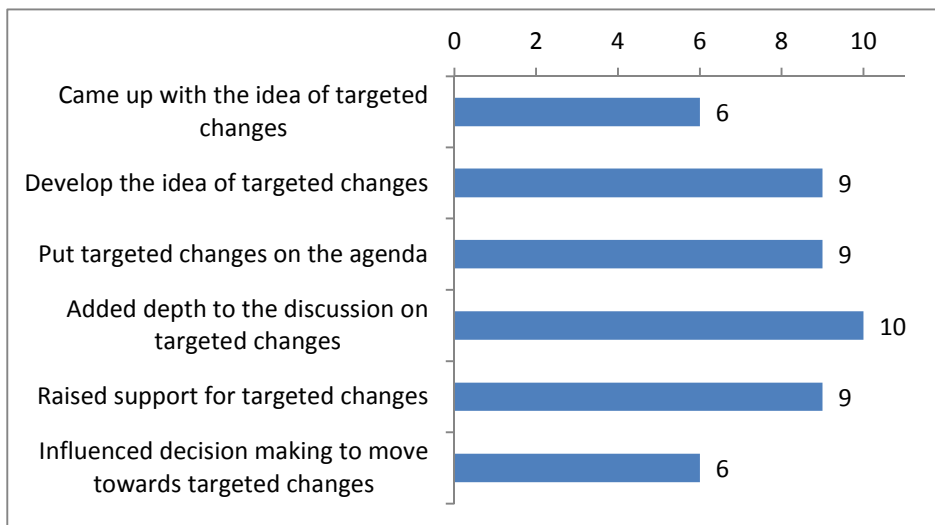
"PRI has taken a leadership role in the review of the SMRs."

"I don't know whether they came up with the idea, but they have played a significant role in developing and moving it forward."

"PRI was one of the instigators of the group of UK based NGOs which prepared detailed comments on possible changes to the SMRs. This group took the proposals to meetings at UNODC Vienna and was instrumental in advocating successfully the notion of targeted changes."

"The Crime Commission has a number of options, and some Members were resistant to any change. PRI has produced solid arguments in support of targeted changes and has led the co-ordination of NGOs in advocating this option."

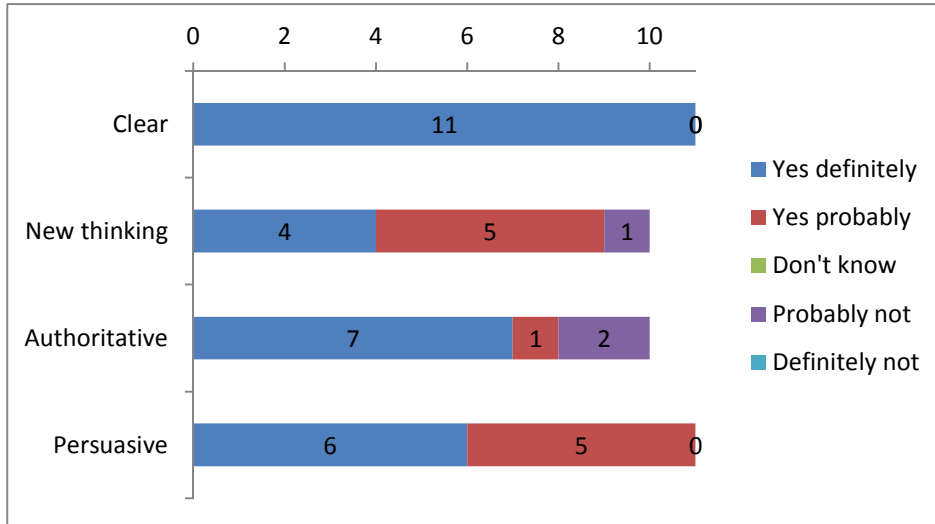
Figure 5: What has been PRI's role in the process of reviewing the SMR?



¹ Davies, Rick (2001) *Evaluating the Effectiveness of DFID's Influence with Multinationals. Part A: A Review of NGO Approaches to the Evaluation of Advocacy Work*. DFID.

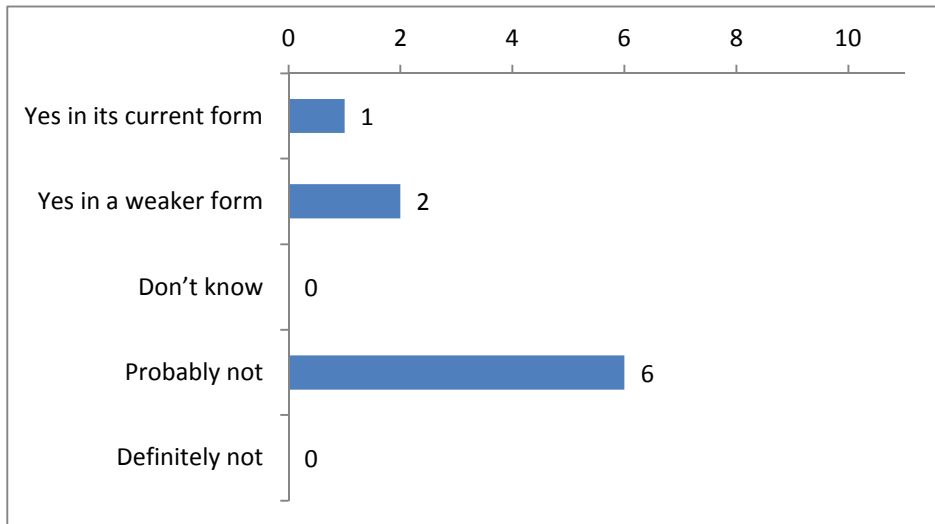
All respondents said they knew of PRI's Targeted Changes paper or its Food For Thought papers. They describe these as definitely clear, and mainly authoritative, persuasive and new thinking.

If yes, what do you think of it?



Respondents who could judge said that they generally thought the proposal for targeted changes would not have happened without PRI. However, comments emphasise that these kinds of actions are affected by many factors so attribution is not straightforward.

Figure 6: Would the proposal for targeted changes have happened without PRI?



"It is never that simple to answer such question as this is social matter."

"It is hard to say, because the support at the IEGMs was widespread, including many Member States. But the PRI contribution was very persuasive."

Respondents support the idea of targeted changes and use the same reasons as PRI and conditions: that implementing the rules is important and that the changes must not be regressive.

“The review is on the table, there are a number of areas where the SMR is out of date, but opening up the whole SMR would have been risky and a commentary wouldn’t have been enough, now they have been opened up this is the best way of recognising some of the ways international law.”

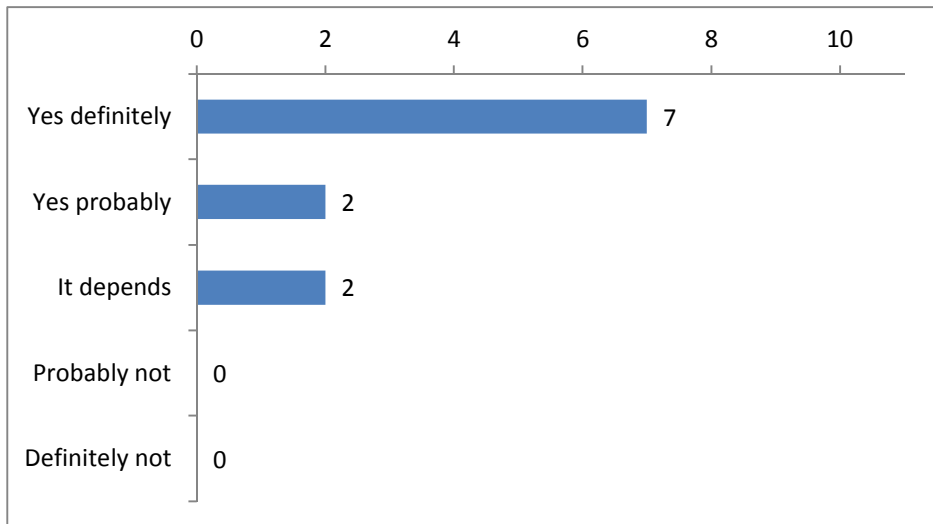
“SMR needs some review to answer better the current challenges.”

“There is general agreement that the SMRs, which were first approved 65 years ago, would benefit from being updated. That said, the most urgent effort required is to encourage States to implement the Rules in order to improve the conditions in prisons. It is probable that any consideration of the proposed "targeted changes", which are extensive, will lead in effect to extended negotiations on a more comprehensive set of changes. The outcome of such negotiations is by no means certain.”

“It is risky but necessary.”

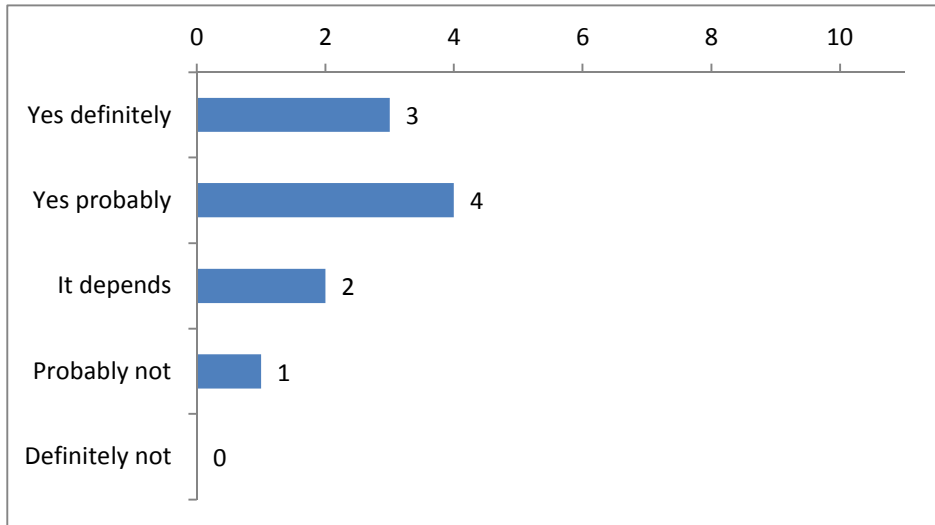
“I have two qualifications: one, that targeted changes must not be regressive (and there is a risk of that happening) and two that this continues to be the best we can hope for (as a Convention is unlikely to be achieved).”

Figure 7: Do you support the idea of targeted changes?

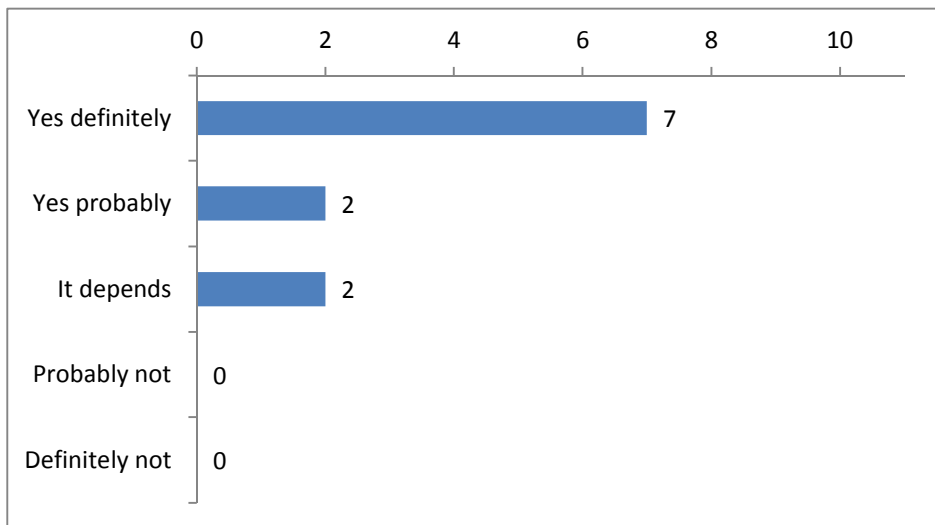


Respondents said that the SMR generally affect conditions in prisons, or rather they affect conditions in some prisons in some countries: they haven’t been used as much as some respondents would like. However, the fact that they exist is extremely important as they can be used as a point of reference in a wide variety of situations. They affect values prison authorities adhere to in practice. They are cited by international courts and tribunals and some countries have incorporated them into law.

“They are the soft law instrument that is referred to the most.”

Figure 8: Do SMR really affect conditions in prisons?

Respondents generally think PRI is good at influencing discussions. The proviso is that there are limits on how influential any one party can be.

Figure 9: Is PRI good at influencing discussions?

“My impression is that they are pretty fantastic. They have accessed States and high level people. They develop a good rapport with different people. When they started, there were States that weren’t willing to receive papers from PRI, which has changed. They are able to develop sustained relationships with people, partly because PRI has a travel budget which other organisations don’t have.”

“Although we and other NGOs are engaged in the review of the SMRs, PRI has been the leader in organising key NGO meetings, meeting with Governments and UNODC, and also because of its high standing as an NGO actually working on improving prison conditions.”

“It has expertise, including knowledge of conditions in countries in which few other NGOs work.”

“Its advocacy skills are well targeted and it is a highly respected player in this field.”

“PRI's voice at UN meetings and in working with Member States carries the weight of global experience in prison management.”

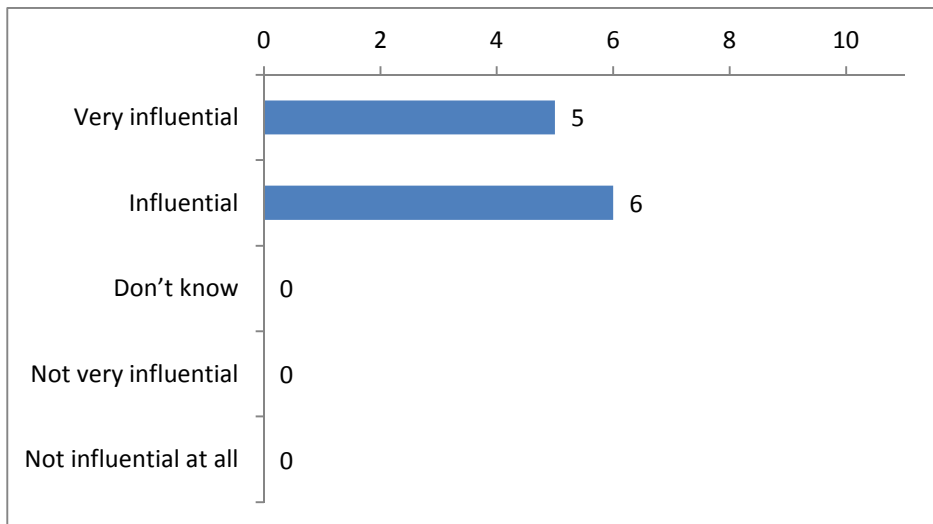
Respondents were asked their views of PRI's tone and style of influencing. Respondents described it as “clear and persuasive”, “very serious, very considered”, with “very good political judgement about how far you can push things on timing”, “very professional and helpful”, “targeted and appropriate to the diplomatic setting”, “well focussed and non-confrontational”

“I admire it. It is not shrill but based on real expertise in penology rather than only human rights generally.”

“A key is positioning: does the NGO operate as a thorn in the side of government, as an unfailing fan, or as a critical friend? I think PRI approaches governments as a well-informed, evidence-based, expert and critical friend.”

Overall respondents describe PRI as influential or very influential in the process of reviewing the SMR so far.

Figure 10: Overall how influential would you say PRI has been in the process of reviewing the SMR so far?



Respondents were asked about the strengths of PRI's work on the SMR. Responses had these themes:

- **Partnership.** “The willingness and ability to work with various partner organizations around the world.” “Collaboration with other NGOs.” “Networks and links across governments, NGOs and official UN bodies.”
- **Coordination.** “In NGO circles PRI is leading the civil society input. I would struggle to see what more they could do. PRI is very effective and thorough.” “Coordination and organisation of ideas and group discussions of the issues.”

- **Effectiveness.** “Strong focus on the issues and process, energy in maintaining the momentum and engaging governments and others, clear and consistent messages based on experience in practice, and good at bringing in others and keeping them informed.” Excellent networking, personal commitment, background information, multinational perspective and openness to new approaches.” “Clear and efficient communication.”
- **Leadership.** “They are the driving force behind the ideas and the SMR process and coordinate the informal NGO coalition, a key role which is essential.”
- **Expertise.** “Quiet well-directed expertise and in this instance good networking.” “Detailed legal understanding.” “Comprehensive perspective on the SMR and prison conditions.” “In depth background research.”
- **Status.** “High recognition among the NGOs and international bodies.”

Respondents were asked what PRI could do better. Responses had these themes:

- **Widening the partnership.** “Perhaps PRI could seek to work and expand its network to justice professional network, practitioners and the private sectors rather than focusing on UN and international organisations.”
- **Increasing influence.** “Getting APT more on board.”
- **Nothing.** “I can’t imagine what they could do better, they are trying to bring everyone on board, they are giving space for discussion, but also giving a coherent voice from civil society, speaking to states.” “Within the resources it has available it does extremely well.”
- **The future will tell.** “On the SMRs, at this stage, they are working well. The manner they proceed as the discussions become more important in terms of working with the international community will determine their effectiveness in the process.”
- **Increasing capacity.** “The only thing I can think of would be to have more people, e.g. someone in Geneva to engage more frequently with the UN human rights bodies.”
- **Raising their profile.** “Aside from SMR work, which at this stage must be done carefully, more should be known about their excellent work. They should develop tools and be given the resources to be able to publicize their work.”

With Andrea we piloted the meeting form given below in Figure 17. Andrea filled in six questionnaires from meetings in Geneva in September 2012. The analysis provides an insight into the way that PRI works: using a mix of individual and group, formal and informal meetings to engender support, find out about and address concerns, strengthen relationships and increase commitment to a course of action. All the meetings were judged to be definitely worth attending. The analysis confirms the value of having funding so that PRI can talk to people face-to-face and raise sensitivities that would not be expressed in other fora. PRI also seems to gain from having one person leading on the SMR work since learning, much of which is highly intangible, is retained across the process.

7.4 The Commission for Human Rights and Good Governance in Tanzania

7.4.1 Introduction

We chose this case study because:

- PRI does not have an office in Africa. We are therefore testing the impact of capacity building support in isolation, without the wider support that PRI can offer.
- Africa is an important priority for DFID.
- Support to children has a potentially strong impact since it reduces the need for future interventions.

7.4.2 Background on the project

The Commission for Human Rights and Good Governance (CHRAGG) in Tanzania has the mandate to visit prisons and places of detention or related facilities with a view to assessing and inspecting conditions of persons held in such places and making recommendations in relation to protecting their human rights. Monitoring visits to detention facilities during 2008/09 and 2009/10 revealed that the numbers of children being held in detention facilities was increasing, that they were often held in adult prisons and that the conditions in detention and the treatment they received did not meet international human rights standards.

7.4.3 Theory of change

This is the logic model behind this project:

| ACTIVITIES | OUTPUTS | OUTCOMES | IMPACT |
|--|-------------------|---|--|
| Research | Report | CHRAGG develops its skills in research and advocacy, | Children's human rights are respected e.g. they are not sent to adult prisons, are separated from adults, have access to legal advice and also to rehabilitation, and do not suffer abuse or torture |
| Report | Advocacy strategy | strengthens its networks, and carries out advocacy on the issue | |
| Dissemination | Inspection tool | Agencies are confident in using the tool, apply it consistently, regularly, and on a large scale and use the findings for advocacy (indicators: no of agencies/staff trained, no who then do inspections, no of inspections carried | |
| Training about research, advocacy and the tool | | | |
| Inspection | | | |
| Advocacy | | | |

| | | | |
|---|--|--|--|
| | | <p>out, number of prisons visited)</p> <p>Judiciary and law enforcement agencies have greater knowledge, understanding, priority to, and compliance with the Child Act and international laws and standards e.g. organize training, create relevant policies and procedures (e.g. child protection, girls, complaints)</p> | |
| <p>Assumptions:</p> <p>The most effective way of motivating change is through inspection and reporting.</p> <p>Agencies have the capacity to carry out inspections.</p> <p>The inspection tool will be communicated to the person carrying out the inspection.</p> <p>The person carrying out the inspection will have the skills, motivation and time to complete the questions on the tool.</p> | | | |

7.4.4 Research

In 2010 CHRAGG carried out research to:

- Promote the implementation of the UN Convention on the Rights of the Child (CRC) and other related instruments relating to the placement of children in detention, and their treatment and care while detained.
- Provide recommendations on ways of improving the situation in the Retention Homes, the Approved School and other detention facilities where children are held.
- Provide recommendations for reforming the juvenile justice system in order to reduce the overall number of children placed in detention.
- Develop baseline data for the situation of children in detention for monitoring and advocacy purposes.
- Identify lessons to be learnt for future research and advocacy work both in Tanzania mainland and in Zanzibar.

As a result of these findings, UNICEF commissioned PRI to help CHRAGG develop a methodology to compile systematic data. PRI carried out training in monitoring in December 2010 and helped to develop an inspection tool. In early 2011 CHRAGG carried out desk research and inspection visits to 65 detention centres. During the inspection visits, CHRAGG interviewed 73 detention centre officers, held group discussions with a further 71, interviewed 179 children in one-to-one interviews and 312 children in focus groups.

The resulting report, *Inspection Report for Children in Detention Facilities in Tanzania, June 2011*, suggested that there were approximately 1,400 children held in adult detention in Tanzania. The report makes 45 recommendations for the police, the prison authorities, the Ministry of Health and Social Welfare and Retention Homes and the Approved School and the Judiciary, for example:

- The police and prison authorities should investigate allegations of torture or inhuman treatment.
- The police and prison authorities should ensure detainees have access to legal representation.
- The police should transfer children within their statutory time limits.
- The police should organise training on the rights of the child and appoint specialist child officers.
- The police and prison authorities should keep children separately from adults.
- The police and prison authorities should produce policies and procedures to meet the specific needs of girls.
- Prisons and the Ministry should introduce child protection policies.
- Prisons should provide rehabilitation and reintegration programmes.
- The police and prison authorities should introduce complaints procedures.
- The judiciary should be encouraged not to the pre-trial detention of under-18s in adult prisons in the areas in which Retention Homes are operating, and to consider non-custodial pre-trial measures.

7.4.5 Training

PRI delivered training on research in December 2010. The training had the following modules:

- Introduction to monitoring.
- Preparing an inspection visit.
- Aspects of detention to monitor.
- Techniques and issues for interviewing children.
- Global models of good practice

On 26th to 28th May 2011, PRI delivered a three day workshop on ‘developing advocacy strategies to promote justice for children’.

The training had three modules:

- Context and framework. What is advocacy? Defining the issues. Gathering evidence, doing research and looking at lessons learned.
- Planning the action. Development of goals and objectives. Developing the plan, identifying targets. Delivering the message.
- Implementation and review. Building support. Identifying resources. Evaluation and monitoring.

Following the launch of the report CHRAGG decided to increase inspection of detention centres. PRI helped to develop a standardized tool (Excel spreadsheet) to coordinate inspection and recording of inspections. In April 2012 PRI trained inspectors from CHRAGG and all the other agencies in the tool. The objectives of the training were:

- To review the tools for monitoring, collating and analysing results
- To consider the practicalities of agencies working together to carry out the monitoring
- To build skills for the visit (preparing for a visit, identifying aspects to inspect, interviewing children, following up a visit, advocacy to bring about change)

The tool is designed to generate report cards for each facility based on indicators from observation and interview-based tools. The tool has been finalised and piloted and PRI is making the final amendments. CHRAGG will have the job of compiling the data from the different agencies and producing one set of statistics.

7.4.6 Outcomes

We reviewed the files and ran a learning workshop with six members of CHRAGG (two directors and four inspectors) in Tanzania in order to produce this case study.

7.4.7 Capacity building of the organisation

CHRAGG has 93 inspectors, 30 of whom have attended training from PRI.

The first set of training built CHRAGG's capacity because they had not previously carried out research. Inspection is a core activity but they did not previously analyse the results to produce data.

The research stage allowed CHRAGG to dedicate its efforts to children and to produce a report on children alone, which they had never done before. CHRAGG has had a special section for children and vulnerable groups since its beginning and a special desk for children since 2006.

The research training that PRI delivered was customised to the trainees' needs. For example, the trainer used examples from Uganda and South Africa and also gave time for trainees to share their experiences.

The training manuals were useful to individual inspectors and the four interviewees still consult them to varying degrees.

“The report was very important. It was done very comprehensively and for the first time people could see the magnitude of the problem.” CHRAGG Director

The second training, on advocacy, helped CHRAGG strengthen its influencing skills. This included lobbying but also practical methods of communicating messages, for example slogans on clothing.

After the training CHRAGG launched the report to the media in June 2011 with the Director of Public Prosecutions as the keynote speaker. Before the meeting CHRAGG had a brief media with the journalists to tell them their role and the messages to be highlighted. CHRAGG also employed a specialist with experience of advocacy through the African Union to help them make a presentation to the Committee for Justice and Constitution in July 2012.

“Before that we used to write recommendations, and send them to the organisation, but most recommendations were not implemented.”

“We learn that writing a report is one thing but you need to do work afterwards to clarify the messages and who you are addressing.”

“It is not enough to say there is a problem, and even the cause of the problem. Your recommendations need to say who should do what. They should be written as instructions not statements.”

“PRI showed us how to summarise the report, so it is clear, and how to publicise it using the media.”

“PRI showed us how to make the recommendations user friendly. They should be in simple messages; they shouldn’t be long, should be easily understandable.”

7.4.8 Organisational and sectoral benefits

The tool has decreased the time taken by inspection from four or five hours to one or two. Inspectors can more easily work as a team, for example, interviewing different types of interviewees. Updating will also be quicker as inspectors will already have some of the base data in the tool.

The tool has increased the quality of the data produced from inspection. After a visit agencies will be able to produce scorecards for each facility. This added precision, and the comparison it allows, gives the agencies greater force in identifying and criticising non-compliance.

The shared approach has strengthened the working relationships between the inspection agencies.

“Having a common understanding between police and magistrates, we can now discuss issues about children which was not the case before.”

7.4.9 Benefits to children: commitments

During the press launch the Director of Public Prosecutions made a commitment to ensuring children are placed in dedicated detention centres rather than adult prisons. There is a legal remedy, an order to remove the children from prison, which has already been used during the period of the report, with the authority of the Minister for Children. This was in Moshi, which was selected because it has a detention home. The Director of Public Prosecutions is using the inspection tool for this work.

The Ministry for Children has made a commitment to prepare a policy and action plan to incorporate the research recommendations.

The Ministry of Health has endorsed the inspection report. The Child Justice Five Year Strategy for Progressive Reform: 2012-2017 makes a commitment to the tool: “An inter-agency coordination mechanism for monitoring and inspection of juvenile detention facilities is established”. There is a target of end 2012 to develop standardised tools, build capacity of the mandated agencies, and develop mechanisms for collation of information. There is a target of end of 2013 to develop mechanisms for periodic reporting. CHRAGG is listed as a key partner for this work. The overall stated goal is to phase out the use of adult prisons for the under 18s, with a transition plan to be in place by 2014.

CHRAGG has allocated funds to follow up work.

7.4.10 Good practices

All the inspection agencies were involved in the development of the tool and in training about its use. PRI developed the tool was by reviewing all the tools that agencies were already using. The training was customised to CHRAGG’s needs. It used examples from Africa.

“PRI used our experience to enrich the training. “

“The training was very practical. It went beyond learning to being an active part of system change.”

The tool was piloted and the piloting resulted in changes to the questions. For example, the inspectors found that some questions needed further questions for the purposes of clarification or contextualisation. Also the questionnaires were too long so some of the questions were condensed.

“The questions are not so much new but they are precise, and more detailed compared to the questions we used to use.”

“By using the tool you can be more systematic and thorough. You are leaving no stone unturned.”

“The tools allow you to see different perspectives.”

8 EVALUATION PROPOSALS

8.1 Introduction

This section proposes a new evaluation system that will enable PRI to better understand and communicate its Effectiveness, Efficiency, and Results. **Evaluation is important to PRI not because it is over-claiming (claiming impacts that are not its own), but because it is probably greatly underestimating its impact and reach.**

Conceptualisation is the usual first stage of evaluation. Our proposals therefore start with two pieces of conceptualisation.

8.2 Theory of change

PRI has a sophisticated theory of change developed over many years of practice.

| ACTIVITIES | OUTPUTS | OUTCOMES | IMPACT |
|----------------------------|------------------|---|--|
| Capacity building/training | Reports | Government officials have more awareness of the international standards, greater understanding and knowledge of how they can be applied, greater priority to applying them, a greater commitment to applying them, sign up to standards, understanding what implementation looks like, feel more comfortable with change, see the benefits for them, accept NGO involvement, change systems and processes | Governments adopt a human rights culture (openness and transparency) in prisons, aligning legislation with international standards, and take a more holistic approach, (e.g. including NGOs in decision making) |
| Publications and resources | Training manuals | | Prisoners have more access to legal aid and justice, more education, drug treatment programmes, rehabilitation; and better conditions (lack of torture, food, clothing, exercise, health care, ventilation, light; greater visitation rights); strengthened family ties and easier reintegration |
| Advocacy | Audio-visuals | | |
| Technical assistance | | New standards are created and standards are revised | |

| | | | |
|--|--|---|--|
| | | NGO's have greater capacity, more knowledge, stronger links to government, work in coalitions, a stronger voice, greater sustainability | |
| <p>Assumptions:</p> <p>PRI can more effectively persuade governments to implement the international standards if works in a non-confrontational way.</p> <p>Governments will be more persuaded to improve prison conditions by arguments about international standards since these arguments appear to be more objective and less critical.</p> <p>Government officials are unaware of the importance of international standards and the sanctions they can impose.</p> <p>The sanctions from not imposing international standards are important to government officials.</p> <p>Government officials lack the knowledge to apply the standards: the standards need a local explanation, contextualisation and interpretations process.</p> <p>Governments will be more able to apply the standards if they can see a step-by-step approach.</p> <p>Incremental progress is more sustainable as it results in culture change.</p> <p>Given support, government officials will apply international standards meaningfully rather than in a token fashion.</p> <p>Capacity building/training will be more effective if it includes practical exercises such as role play, visits to prisons.</p> <p>That part of the benefit of training/capacity building is to bring government officials and civil society organisations together.</p> <p>Civil society organisations will be more effective if they have greater insights into and stronger relationships with government.</p> <p>Joint working is more effective in giving a more unified voice.</p> <p>International standards will be more effective if informed by local knowledge and relationships contributed by PRI.</p> <p>PRI can itself call on the international standards to enforce compliance.</p> <p>Transparency, anti-discrimination, openness once accepted by one part of a government can</p> | | | |

be applied to other aspects of the government e.g. military, education.

If people think that the system is fair, they will be more likely to resent when a decision goes against them. People will trust the institutions more.

This theory of change would appear to be consistent with higher standards of advocacy, as set out in Section 3.5.

8.3 Influencing mechanisms

PRI needs to give more attention to how its work results in impact, the mechanisms whereby a report or training event results in change. With the benefit of a classification structure, PRI could use stories to demonstrate its impact.

We are not aware of a framework to classify influencing mechanisms in advocacy. Meanwhile, evaluators have identified change processes regarding the impact from evaluation reports, which are analogous. These are summarised in Table 1.

Figure 11: Change processes for evaluation influence (after Henry and Mark, 2003)

| The individual level | |
|-----------------------------|--|
| Attitude change | Evaluation findings affect stage policymakers' opinions about e.g. the feasibility of implementing a programme or its value |
| Salience | Information about programme effects raises the importance of the issue or social problem |
| Elaboration | An evaluation report stimulates individuals to think more about the programme and their expectations for its outcomes |
| Priming | The evaluation report sensitises readers to the issues described within, making the issues more cognitively accessible |
| Skill acquisition | Commissioners benefit from participating in the evaluation processes, such as conceptualising, writing surveys, or evaluative thinking |
| Behaviour change | Commissioners change their practice as a result of insights from or recommendations in the report e.g. instrumental use |
| Interpersonal level | |
| Justification | Evaluation findings are used to support a previously held position |
| Persuasion | One party attempts to change the attitudes of another, usually through direct communication |
| Change agent | Evaluation findings or processes lead to an individual or individuals taking on a direct role in attempting to change the programme |
| Social norms | Evaluation findings e.g. information on other areas or programs, change commissioners' |

| | |
|--|--|
| | assumptions about what is acceptable or usual |
| Minority opinion influence | Evaluation provides information that can support the case of minority advocates |
| Collective action by public and private organisations | |
| Agenda setting | An evaluation report results in an agenda moving up the media, public or government agenda |
| Public oriented learning | Advocacy coalitions change their policy recommendations based on evidence e.g. the success of programme alternatives |
| Policy change | Evaluations result in major or minor changes to policies |
| Diffusion | Evaluated policy, programme or practice is adopted in another area or field |

8.4 Suggested internal systems

8.4.1 Monthly reports

PRI's monthly reports are currently very dense and wordy. We suggest a more structured approach that saves repeating the same words. Ideally these should be directly input into the database.

The factual information should be contained in tables, for example:

| A. CAPACITY BUILDING | FOR EACH CAPACITY BUILDING ACTIVITY: |
|---|--|
| 1. Name of capacity building activity | |
| 2. Strand | Alternatives to custody Torture Death penalty Children Women |
| 3. Venue/location | |
| 4. How the activity was initiated/by whom | |
| 4. Names of any delivery partners | |
| 5. Length of the course in days | |
| 6. Start date | |
| 7. End date | |
| 8. Number of participants | This should be ticking from a pre-coded list |
| 9. Type of participants | |
| 10. Learning outcomes for participants | |

The text should focus on reporting lessons and achievements.

8.4.2 Feedback forms

Feedback forms should follow a more systematic format, for example:

Figure 12: Draft day end feedback form

| | | | | | |
|---|------------------|--------------|-------|--------------|----------------|
| 1. Name | | | | | |
| 2. Name of organisation | | | | | |
| Is the capacity building meeting your needs so far: | Yes definitely | Yes probably | Mixed | Probably not | Definitely not |
| 3. Do we have the right presenters? | | | | | |
| 4. Do we have the right subjects on the timetable? | | | | | |
| 5. Do we have the right time allocated to each subject? | | | | | |
| 6. Do we have the right environment? | | | | | |
| 7. Is there enough time for discussion? | | | | | |
| Any comments on these points: | | | | | |
| 8. Are there some subjects on the agenda that you would like us to give more time to? | No Yes, what? | | | | |
| 9. Are there some subjects not on the agenda that you would like us to cover? | No Yes, what? | | | | |
| 10. Is there anything that is annoying you about the workshop that you would like us to change? | No Yes, what? | | | | |

It is important that feedback forms are treated seriously:

- The time to complete the forms should be explicitly stated in the timetable.
- The importance of evaluation should be mentioned at the beginning of the capacity building.
- The forms should be introduced with language that encourages honesty and frankness.

Introductory phrases suggested in the Regional Directors' workshop are:

This is part of our development. We appreciate your help. We are learning from you.

We are not going to teach you. We would like to share what we think and to hear your opinion and to develop joint understanding.

We want to have your advice on this. We respect your opinion.

- The form should be customised to reflect the learning objectives.
- Forms should be collected from each participant, where possible.
- Data should be entered on PRI's database.
- Reports should be written up and filed centrally as well as regionally.

Figure 13: Draft workshop end feedback form

| | |
|---|--|
| 1. Name | |
| 2. Name of organisation | |
| 3. Were the objectives for the workshop clear? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not Please explain: |
| 4. Was the workshop well organised? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not Please explain: |
| 5. Was the balance between talking and participative exercises about right in the workshop? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not Please explain: too much talking or too little? |
| 6. Was the workshop at the right level of detail? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not Please explain: was it too detailed or not detailed enough, or uneven? |
| 7. Were the right people at the workshop? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, too junior <input type="checkbox"/> No, too senior <input type="checkbox"/> Shouldn't mix civil society organisations and government officials in one workshop Other, please explain: |
| 8. Was attending the workshop a good use of your time? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not |
| 9. Overall, what do you think were the strengths of the workshop? | |

| | |
|--|---|
| 10. Overall, what do you think were the weaknesses of the workshop? | |
| 11. Overall, was the workshop relevant to you? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not Please explain: |
| 12. Did the workshop communicate the importance of the xx topic? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not <input type="checkbox"/> Not relevant Please explain: |
| 13. Did the workshop change your opinion of xx topic? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not <input type="checkbox"/> Not relevant Please explain: |
| 14. Did the workshop improve your ability to apply xx topic? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not <input type="checkbox"/> Not relevant Please explain: |
| 15. Was the workshop helpful to you in terms of networking? | <input type="checkbox"/> Yes, definitely <input type="checkbox"/> Yes, probably <input type="checkbox"/> Don't know/mixed <input type="checkbox"/> No, probably not <input type="checkbox"/> No, definitely not <input type="checkbox"/> Not relevant Please explain: |
| 16. Are you planning to change your practice in any way as a result of the workshop? | <input type="checkbox"/> No need to change practice <input type="checkbox"/> Would like to but not practical <input type="checkbox"/> Not relevant |

| | |
|--|---|
| | <input type="checkbox"/> Yes xx <input type="checkbox"/> Yes xx <input type="checkbox"/> Yes xx <input type="checkbox"/> Yes, other please explain: |
| 17. Are there any barriers to you applying the knowledge you gained from the workshop? | <input type="checkbox"/> No <input type="checkbox"/> Yes, lack of impetus for change <input type="checkbox"/> Yes, lack on information <input type="checkbox"/> Yes, lack of support from senior staff <input type="checkbox"/> Yes, opposition from junior staff <input type="checkbox"/> Yes, need for further training or support <input type="checkbox"/> Yes, lack of time/workload <input type="checkbox"/> Yes, lack of money <input type="checkbox"/> Yes, the legislation <input type="checkbox"/> Yes, systems and processes <input type="checkbox"/> Yes other, please explain: Please explain: |
| 16. Would you like further help from PRI in applying the International Standards? | <input type="checkbox"/> No <input type="checkbox"/> Yes, xx <input type="checkbox"/> Yes, xx <input type="checkbox"/> Yes, xx <input type="checkbox"/> Yes other, please explain: |

Thank you for taking the time to reply to us. We value your opinions.

8.4.3 Follow up surveys

It is important that PRI finds out if participants applied learning from capacity building. There are two possible ways of doing this:

- **Informal.** Where PRI is using Webinars to provide further support to participants, the registration form for the Webinar should contain a multi-choice question asking about any actions taken since the training.
- **Formal.** PRI should carry out surveys such as Survey Monkey interviews for a sample of capacity building events. It is important that these track all participants from one or more events, rather than a scattering of participants across all events, since the latter is subject to bias. The survey should ask a series of questions about how the learning affected them and any use they made of it.

The procedure for follow up surveys should be:

- The questionnaire should be customised to reflect the learning objectives.
- The survey should be sent out 5-6 months after the person has attended capacity building.
- All participants should be emailed.

- The introductory email should motivate response.
- Two reminder emails should be sent to those who have not replied.
- Data should be entered on PRI's database.
- Reports should be written up and filed centrally as well as regionally.

Figure 14: Sample follow up questionnaire

| | |
|---|--|
| 1. Name | |
| 2. Role | |
| 3. Organisation | |
| 4. Do you still think about the training or refer to your notes on xx? | Yes, frequently Yes, occasionally No Other, please explain: |
| 5. Do you still have contact with any of the other participants on the xx workshop? | No Yes, discussed challenges Yes, discussed working together Yes, met to share experiences Yes, please specify: |
| 6. Have you used any of the resources given out on the xx workshop? | No Yes |
| 7. Was the workshop relevant to your way of working? | Yes, definitely Yes, probably If depends No, probably not No, definitely not |
| 8. Is there any area of your practice that you changed as a result of the workshop? | No Yes, xx Yes, other please explain: |
| 9. Are there any barriers to you applying the knowledge you gained from the workshop? | No Yes, lack of impetus for change Yes, lack on information Yes, lack of support from senior staff Yes, opposition from junior staff Yes, need for further training or support Yes, lack of time/workload Yes, lack of money Yes, the legislation Yes, systems and processes Yes other, please explain: Please explain: |
| 10. In retrospect, is there any way the training should have been different to be more useful to you? | |

8.4.4 Use of publications

PRI produces important and authoritative publications. PRI has some anecdotal information on how publications are used but this is likely to greatly under-estimate the full impact.

Questionnaires can be customised to fit the specific intentions of each report. For example, the questionnaire could include questions asking about specific actions taken. However, the general questions should be kept the same over time to allow comparison between reports.

We recommend that PRI carries out two or three surveys about the use of elements of the PPA. This can be an online survey with the invitations ideally using subject-specific mailing lists from the new database.

Figure 15: Draft questionnaire for evaluating use of publications

| READERS SURVEY | | | | | |
|--|---|---------------|-------|--------------|----------------|
| Please fill in this questionnaire. We value your views and will do use them to improve future reports. We would like to know whether the report was useful for you and how we could improve future publications. | | | | | |
| 1. Which sections of the xx publication did you read? | Summary Chapter Appendices References | | | | |
| 2. Was the xx publication: | Yes, definitely | Yes, probably | Mixed | Probably not | Definitely not |
| Clear | | | | | |
| New in content | | | | | |
| Relevant to you | | | | | |
| At the right level of detail | | | | | |
| Fair/balanced | | | | | |
| Well written | | | | | |
| Practical | | | | | |
| Useful? | | | | | |
| Please explain: | | | | | |
| 3. Overall, how important is the xx publication? | Very important Important Mixed Unimportant Very unimportant Don't know | | | | |
| 4. Are there any changes you would like us to make to the content or presentation of our future publications so they are more useful to you? | | | | | |
| 5. Have you used the xx publication? | Used it Planning to use it Not used it | | | | |
| 6. How have you used, or will you | Not used/planning to use it | | | | |

| | | | | | |
|--|---|---------------|------------|--------------|----------------|
| use, the xx publication? Please tick all that apply | To see and apply good practice To influence others To write about the issues To research the issues To identify organisations working in the field To gain background information on the field To design specific policies or programmes To fine tune specific policies or programmes To critique existing policies or programmes Other, please specify: | | | | |
| 7. Please can you tell us how you have used the XX publication? | | | | | |
| 8. Have you talked to other people about the xx publication or passed it onto other people? | No Yes, passed the report onto other people: how many? Yes, talked about the report to other people: how many? Other, please specify: | | | | |
| 9. What is your relationship with PRI? Please tick all that apply | Partner Service user Funder Supporter Critic No relationship Other, please specify: | | | | |
| 10. What is the frequency of your contact with PRI? (include people, events and the website) | This is the first contact Occasional Frequent Other, please specify: | | | | |
| 11. What is your view of PRI? Is it: | Yes, definitely | Yes, probably | Don't know | Probably not | Definitely not |
| Authoritative | | | | | |
| Influential | | | | | |
| Responsive | | | | | |
| A thought leader | | | | | |
| 12. What is your interest in the xxx publication? | International agency Government official NGO Academic/researcher Business person/private sector Journalist Member of the public Other, please specify: | | | | |
| 13. In which country are you based? | | | | | |

The procedure for evaluating use of a publication is:

- Use surveys should relate to a specific publication or group of publications, not all of PRI's publications.

- The questionnaire should be customised to match the exact objectives and name of the publication.
- The Survey Monkey link could be included in the covering letter for the publication.
- The Survey Monkey link should be sent out in an email to the specific people who received the publication, not to all those who have received PRI publications.
- The email inviting responses to the survey should motivate response.
- Data should be entered on PRI's database.
- Reports should be written up and filed centrally as well as regionally.

8.4.5 Advocacy meetings form

Meetings are the basic unit of work for advocacy so a systematic source of information on meetings will help to capture the effort involved as well as helping with internal reflection.

A meeting sheet is a systematic record of factual and reflective information on each meeting. The sheet would be entered onto a spreadsheet or database like Survey Monkey so as to allow near instant analysis of monitoring information. Most of the questions are coded, leaving relatively little work – productive work at that – in recording reflection.

This is a draft form that we wrote for Andrea and then amended after a piloting process:

Figure 16: A draft meeting form

| | |
|---|--|
| 1. Programme | PPA EU Etc. |
| 2. Type of meeting | Formal (observing) Formal (participating) Informal (observing) Informal (participating) |
| 3. Date(s) of meeting | |
| 4. Name of meeting | |
| 5. Purpose of the meeting | |
| 6. Target stakeholder group at the meeting (those PRI is seeking to influence) | UN Government officials Civil society organisations Etc. |
| 7. Number of people present from target stakeholder groups | |
| 8. Tactics | |
| 9. Receptivity of the stakeholder at the beginning of the meeting | Very positive Positive |

| | |
|--|---|
| | Don't know/mixed Negative Very negative Comment: |
| 10. Receptivity of the stakeholder at the end of the meeting | Very positive Positive Don't know/mixed Negative Very negative Comment: |
| 11. Outcome/actions agreed | Raised awareness Created a debate Increased knowledge Addressed a concern Gained their support Reached an agreement Confirmed or changed a course of action Strengthened a relationship Ensured coordination Agreed to continued dialogue Agreed next steps Extended PRI's network Please explain actions agreed: |
| 12. In retrospect, was this meeting worth attending? | Yes, definitely Yes, probably Don't know Probably not Definitely not |
| 13. Lessons for working with this stakeholder group | |

8.5 Roundtable feedback form

Forms should be given out at the end of the event and then collected in and entered onto the database. Reports should be written up and filed centrally as well as regionally.

The name of the Roundtable should be printed on the forms, and entered on the database.

| | |
|--|--|
| 1. Name | |
| 2. Organisation | |
| 3. Did you manage to say everything you wanted to say at the Roundtable? | Yes, definitely Yes, probably Not relevant Probably not |

| | |
|--|--|
| | Definitely not If not, what did you want to say? |
| 4. Did the discussion cover all the relevant issues? | Yes, definitely Yes, probably Not relevant Probably not Definitely not If not, what was missed out? |
| 5. Did the discussion move the debate on? | Yes, definitely Yes, probably Not relevant Probably not Definitely not |
| 6. What did the Roundtable achieve? | Too early to tell Brought people together Raised new issues Gave a deep discussion of the issues Reached a clear conclusion Brokered an agreement |
| 7. Would this meeting have happened without PRI? | Yes No |
| 8. Would you like to be involved in the next stage? | Yes No |
| 9. Any other comments: | |

8.6 Conclusion

DFID's comments on PRI's Annual Report all relate to aspects of evaluation. This chapter, and the case studies we carried out, are designed to address DFID's concerns. However, PRI's interest in evaluation is not driven entirely by DFID. We were impressed by PRI's interest and commitment to evaluation. The barrier so far has been a lack of knowledge about how to adapt evaluation to the specific requirements of advocacy, not a resistance to the concept. Notwithstanding this, there is a need to ensure that evaluation is embedded, and that the systems are used rigorously and effectively. This is a challenge for a relatively small and dispersed organisation. Rather than having a large programme end evaluation, as was envisaged in our brief, our preference would be to work alongside PRI over the next year and a half to carry out internal training and facilitate individuals to adapt the tools we have provided, if this is acceptable to DFID. Demonstrating to individuals, one by one, that evaluation can be useful to them will, we believe, ensure that the evaluation data collected are of the highest possible quality and lead to organisational learning. The three elements would be: training on evaluation; ability to email or talk to the evaluator about specific questions e.g. on using systems or customising questionnaires, with the evaluator potentially writing up the results as a case study; the ability to bid into a pot for the evaluator to carry out a case study of a specific project or activity.

9 CONCLUSIONS

9.1 Summary of achievements against evaluation criteria

PRI has a highly distinctive offering based on:

- Specialist knowledge at a global level.
- A unique positioning close to governments.
- A sophisticated model of influencing developed over many years of operation.
- An holistic model of support.
- Long relationships, again developed over many years.

PRI's work is highly complementary to the other civil society organisations that DFID funds. There are different barriers to change in strengthening civil society. PRI reduces barriers around knowledge, application, organisation and collaboration. Other civil society organisations and international bodies, with which it works closely, put pressure on governments and increase the impetus for change. PRI also helps to build capacity in local civil society organisations.

PRI performs well on Relevance:

- It carried out a detailed and systematic baseline analysis.
- It carries out needs analysis for its capacity building.
- It is inherently targeted at those who are most marginalized in society, those who are imprisoned or facing imprisonment.
- The programme further targets particularly marginalized groups: women and children.

PRI performs well on Effectiveness:

- It has a clearly defined strategic role.
- It has a highly skilled and committed staff team.
- It has good systems, without being bureaucratic.
- It works flexibly, responding to opportunities.
- It has strong partnerships.
- It has a potentially global impact through its website.

PRI performs well on Efficiency:

- It is designed to deliver sustainability. Instead of directly funding local organisations, or directly taking on roles in the system, PRI works to change the capacity, incentives, relationships, and behaviours of local actors.

-
- It acts to leverage local resources. Local partners provide venues, organisational support, publicity, and other follow up support.
 - It aims to catalyse system-wide change. It does this by embedding knowledge in local institutions (who can then pass on this knowledge to others), working with scale-agents (such as the UN), creating regional nodes of excellence, promoting linkages and peer-learning and encouraging copying of successful innovations. Replication increases the scale of impact, and gives the programme more “bang for its buck”.

Evidence for these statements can be found in the impact case studies. PRI is more effective, efficient and relevant where, as in the CHRAGG and SMT case studies, it has a sustained and holistic programme of support around a specific set of objectives. It is precisely this approach that the DFID funding allows.

9.2 Summary of achievements against rationale for PPA funding

The theory of change for PRI is very strong:

- Working with reference to the international standards provides clear leverage for change.
- Working in partnership with governments gives local ownership and sustainability.
- Building the capacity of NGOs broadens and deepens local partnerships.
- Working with international bodies such as the UN provides potentially massive reach and longevity of impact.

Strengthening PRI’s evaluation will help to refine its theory of change.

9.3 Summary of problems and issues encountered

PRI does not currently have an evaluative culture and it does not have a systematic approach to measuring the results of its work. It does have an extremely strong commitment to truth and fairness, which have greatly supported our desire to find a balanced approach to evaluation.

There are challenges in developing an evaluation system:

- Advocacy is less concrete than service delivery. Any service delivery in an advocacy programme is a means to an end not an end in itself.
- The scale of the programme is vast.
- Regional offices operate relatively independently, which has so far reduced the scope to produce consistent data.
- The timescale over which results can be expected to mature is long.
- Some of the data collection tasks, such as monitoring the application of the Bangkok rules, are vast and rightly the responsibility of other agencies.
- PRI has had problems with IT systems, which are being addressed.

We have suggesting overcoming these problems through:

- Taking a focused rather than a comprehensive approach to evaluation. Detailed case studies will provide accurate information on specific circumstances, which can be used to scale up to provide programme-wide figures.
- Organising training in evaluation for staff so as to communicate the value and relevance of evaluation and build skills across the organisation.
- Introducing a bidding system where regional offices and other staff have to 'bid' into a central pot to have a case study prepared with the external evaluation team, so communicating that evaluation is a privilege rather than a burden.

9.4 Overall impact and value for money of PPA funded activities

In the last year PRI organised 27 capacity building events under the PPA. An average 15 people attended each capacity building event, giving a total of 405 contacts. If we take a conservative estimate that 30% of participants took action following the capacity building, then that would suggest that the PPA helped mobilise 121 committed actors as a result of its PPA programme. In practice, the reach could be far wider than this. The CHRAGG case study showed that all those trained continued to implement the system proposed. From this one case study alone 1,400 children are likely to have been affected to varying degrees. If we take a more conservative estimate that each event affects on average 400 people in prison, then that would give an impact of 10,800.

In the last year PRI wrote and disseminated 40 publications under the PPA. Where publications are printed, 500 or 1,000 copies are printed. Where publications are printed in other languages 200 copies are printed. Many of the copies of the publications have already been distributed. If we take a conservative estimate that 200 copies of each publication have been distributed and 50 read carefully, that would suggest that there have been 2,000 detailed contacts with readers. If we then assume that readers tend to read an average of two publications, that would suggest that the PPA has helped reach an additional 1,000 actors as a result of its PPA programme. If we assume that 10% of these actors take action after reading PRI publications and that each affects on average 300 people in prison, then that would give an impact of 30,000.

In the last year PRI has taken an active role in local, regional, national and international advocacy campaigns, of which the Standard Minimum Rules (in our case study) is only one. This campaign is yet to be completed, but when it does, it is likely to have an impact, especially for women and children, across the world, far beyond the PPA programme regions.

The CHRAGG project cost £44,000 and will have various levels of impact on 1,400 children: a unit cost of £32 per person.

These figures will be refined at the next stage. The assumptions need to be tested, and any double counting taken out (where several aspects of the programme are focused on the same participants). We also need to apply a correction factor for the percentage of the outcomes attributed to DFID rather than the matched funders.

Overall, our initial estimate is that PRI is likely to have had an indirect impact on tens of thousands of prisoners across and beyond the PPA regions. This impact is likely to have been in terms of health and wellbeing, which has the potential to increase prisoners' future economic activity and reintegration into society. The impact is likely to have been wider than the specific beneficiaries, since their families would also benefit from lower stigmatisation, greater social integration and income from an economically active member. Where PRI is successful, the work might also have a deeper impact in encouraging governments to change their culture towards greater transparency and openness.

If we assume that PRI will improve the lives of 30,000 prisoners overall during the term of the PPA programme, then the unit cost of DFID's contribution is £108 per prisoner. Where systems are embedded, this impact would be sustainable, and would continue after the end of the PPA programme.

Working in prisons is particularly difficult because it operates at the end of a public sector value chain. This is highly specialised work for which PRI has strong skills, arguably unique skills. If PRI is not supported there are no other organisations who will step into their role.

9.5 Utility

This report includes detailed questionnaires for the proposed evaluation methods and case studies testing and illustrating this approach. The report is intended to have a highly practical purpose in moving PRI onto the next stage of development in its evaluation. The intended audience is across PRI. Staff have already been involved in detailed discussions about the theory of change behind PRI's work and seem to be extremely enthusiastic about the next stage.

9.6 Lessons learnt

The PPA has greatly strengthened PRI's learning structures. It has given PRI the funding to organise a strategic away day and more regular workshops with regional directors. PRI was unable to fund this activity before DFID's support.

PRI has already developed a sophisticated approach to influencing policy makers based on partnership, practical support, detailed guidance and reference to international standards.

The main lesson from the PPA is that PRI needs to give further consideration to the impact on prisoners. PRI's model ostensibly treats government officials as the end user. Compiling information on the impact on prisoners will enable PRI to compare the value for money from different activities and choices. This will help PRI to think systematically about how it should best spend staff time at any one time, but also to fine tune or restructure activities for greatest impact.

9.7 Recommendations

- PRI should articulate what is special about the organisation and its theory of change, of which this report is the first stage.
- PRI should use evaluation and internal reflection to make explicit decisions between alternative routes to impact.

-
- PRI should more precisely describe what success would look like.
 - PRI should ensure that job descriptions include evaluation.
 - PRI should consider holding general evaluation training for staff.
 - PRI should introduce a new structure for monthly reports to give a more structured way of reporting outputs and a greater focus on outcomes.
 - PRI should develop a focused evaluation system to capture the intermediate outcomes of the PPA and the mechanisms whereby it contributes to these outcomes.
 - PPA publications should credit DFID, where it is not locally contentious..

Our report provides practical guidance on what the new evaluation system should look like and how it should be used.

9.8 Evaluation

The project manager was only appointed in October 2011 so aspects of the programme have only been running for less than a year, instead of the 18 months stated in the brief. We originally proposed 68 days for the evaluation to meet the brief from DFID. PRI decided to delay 36 days work to the final evaluation to give impacts time to mature.

The focus of the evaluation has been on designing and embedding evaluation systems so that PRI will have good information to demonstrate impacts at the time of the final evaluation.

The PPA is integrated into the work of PRI. Our organisational review necessarily has a wider boundary than looking at the strengths and weaknesses of the PPA alone. PRI asked us to take a wider perspective than the PPA so that our recommendations are broadly applicable.

9.9 Conclusion

We believe that PRI is relevant, efficient and effective. Additionality is high because PRI's work is special, perhaps unique, and would not likely be carried out by other organisations. Attribution, or rather contribution, are likely to vary. Our case study of Standard Minimum Rules suggests a relatively high contribution from PRI. However, in many contexts, even if PRI initiates change, implementation will rely on mobilisation of a large number of local actors.

APPENDIX ONE: DFID'S COMMENTS ON PRI'S PPA PROGRAMME

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Dear Alison,
FEEDBACK ON CHASE PPA ANNUAL REPORT 2011/12

11 July 2012

1. We were pleased to receive the first self-assessment annual review of Penal Reform International's Programme Partnership Agreement with DFID's Conflict Humanitarian and Security Department. Thank you for your substantial effort to provide a thorough response to the review template. The rating of achievements is consistent and appropriate.
2. Overall, the performance against the outputs demonstrates the important and unique role Penal Reform International (PRI) plays in advancing penal reform policy at the international and regional levels. However, despite many successes in achieving the milestones for Year 1, the review could make clearer the actual difference made by these successes. How and by whom has the training manual on alternatives to prison been used? What difference have the roundtables on justice for children made?
3. The risks do not seem to refer to the political challenges of advancing what is often an unpopular and contentious area of criminal justice. There also should be reference to the assumption that international legislation will translate into local-level change.
4. A key challenge for PRI is to systematically measure the changes brought about by their advocacy and influencing efforts. The narrative on the outputs does capture achievements, particularly at the international level (Bangkok Rules, OPCAT and SMR) in which there appears to be great belief. However, it is then difficult to see these making a difference to the lives of those being targeted, prisoners. I recognise that PRI does engage in linking national and international efforts, through regional and national advocacy, as well as assisting the implementation of innovative practices such as community service. However, the report could expand on how PRI prioritises between these different activities, how they are linked strategically and how they are measured in terms of changes on the ground.
5. Part A of the report is especially well written and well evidenced. However there is no evidence of direct feedback from beneficiaries.

6. The strategy refers to an evaluation of institution-level interventions, using a post-hoc evaluation of community service in Kenya as an example. The example does not make clear whether this is a review of the system or of PRI interventions. If the latter, then are these evaluations going to be across all initiatives, not just those completed? Not enough detail is given on how PRI evaluates its actions across the board, whether policy or institution-focused

7. PRI targets prisoners, who are claimed to be from the poorest and marginalised sections of community. While I believe this is right, this does need to be substantiated by some facts. As discussed above, it would be useful to understand better how PRI see their approach, one of advocacy and policy change, to be relevant to such groups.

8. As well as policy advocacy, PRI does engage in promoting innovative approaches to penal reform at the country level. What strategy does PRI have in place to engage and influence donors who fund penal reform initiatives?

9. The value for money section focuses exclusively on cost efficiencies, which is important. However, no analysis is done of effectiveness or overall value. There is not enough information to demonstrate VfM. They have identified technical staff as their main cost driver, however, there is no breakdown of how this is allocated amongst staff. Loss of staff is cited as the main risk to VfM, but how do they know that the staff they currently employ are best value for money. Travel is also cited, using low cost carriers does not necessarily ensure VfM.

10. The additionality report clearly demonstrates how PPA funding impacts on activities, but fails to report on what would have happened without DFID funding or to what extent the results reported are attributable to DFID funding. The grantee does not consistently demonstrate in the case study the extent to which they understand the factors which affect the success or failure of interventions.

I hope you find this feedback useful. We welcome the important contribution that Penal Reform International is making and look forward to close engagement in the future.

Yours sincerely

Liz McClymont
CHASE PPA Team

APPENDIX TWO: DOCUMENTS REVIEWED

Grant documents

Original grant application

KPMG Due Diligence

MOU and the associated logframe

Evaluation Strategy for the PPAs and GPAF: Overview of PPA Performance Assessment. (4 page summary).

PPA Annual Review for DFID

PPA planning documents

DFID correspondence / documents

Meeting with DFID minutes (attached)

Notes of the consultation workshop with Coffey (attached)

PPA Evaluation Strategy workshop participants list (attached)

Impact Evaluation Guidance (provided by DFID – attached).

PPA Evaluation Strategy FAQs (provided by DFID – attached)

PPA Evaluation Strategy overview presentation (provided by DFID – attached)

PPA Evaluation Strategy Workshop Agenda (provided by DFID – attached)

Reports on PPA activities

Agenda for the Kiev workshop

Evaluation form for the Kiev workshop

Participants responses from the Kiev workshop

Monthly reports from March 2011 onwards from each of the regions

Advocacy Update Reports

Newsletters: <http://www.penalreform.org/e-news-bulletin>

Annual reports: <http://www.penalreform.org/pri-annual-report>

Internal systems/policies

UK staff handbook

International staff handbook

Health and safety policy

PRI remuneration policy

Appraisal form

Appraisal guidelines

Internal evaluation framework

Notes from the last info and comms meeting (we've recently set up an internal w/group to work on a strategy)

Advocacy policy

Gender policy

Penal Reform International's Policy on Engaging with Governments

Penal Reform International Remuneration Policy

Fund raising strategy

Other internal documents

Staff list

Board members

Board meeting minutes

Report from the MENA office retreat

Draft report from recent seminars in Kenya

Work schedules for 3 PPA consultants

Flip chart notes from away day

Champollian report

PRI risk register

Evaluation reports

Baseline data

Evaluation of Phase I and II of Juvenile Justice programme in the Arab World

Interim Evaluation of PRI's programme for penitentiary reform in Ukraine

Draft external evaluation of Death Penalty programme

Lessons learned report from Ukraine project

Evaluation of Juvenile Justice in MENA report

Project Evaluation Report: Locked up and forgotten – prevention of torture in prisons of Khyber Pakhtunkhwa Pakistan

Assessment Report “Promotion of Modern Concepts in the Administration of Juvenile Justice in Armenia”

Evaluation of PRI's JJ project in Georgia

Publications

The ten-point plan to address prison overcrowding, 2011

Paralegals in Rwanda: a case study, 2012

Alternatives to prison in East Africa: trends and challenges, 2012

The probation and parole system in Pakistan: an assessment and recommendations for reform

A human rights training manual for prison officers in Sudan

A multi-country initiative on human rights training for prison officers

The abolition of the death penalty and its alternative sanction in Central Asia: Kazakhstan, Kyrgyzstan and Tajikistan

The abolition of the death penalty and its alternative sanction in East Africa: Kenya and Uganda

The abolition of the death penalty and its alternative sanction in South Caucasus: Armenia, Azerbaijan and Georgia

The Death Penalty Information Pack

Alternative Sanctions to the Death Penalty Information Pack

Life after death: what replaces the death penalty? April 2012

The ten-point plan for fair and effective criminal justice for children (Ten-point plan)

A briefing on the African Committee of Experts on the Rights and Welfare of the Child and fair and effective criminal justice for children

Independent monitoring mechanisms for children in detention

Justice for children briefing no 1, December 2011

Justice for children briefing no 2, March 2012

Justice for Children Briefing No. 3, June 2012

Safeguarding Children in Detention: Independent Monitoring Mechanisms for Children in MENA.

PRI Toolkit for Interviewing Children, their Guardians and Staff of Juvenile Detention Facilities.

An Assessment of Juvenile Justice Systems in Algeria, Morocco, Jordan, Yemen and Egypt: the current situation and future opportunities

United Nations Rules on The Treatment Of Women Prisoners And Non-Custodial Measures For Women Offenders (The Bangkok Rules) Guidance Document, Tomris Atabay, 31 May 2012

United Nations Rules on The Treatment Of Women Prisoners And Non-Custodial Measures For Women Offenders (The Bangkok Rules) Working Draft, Tomris Atabay, 31 May 2012