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Policy

Military and Police Capability Study

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**DPO/DOS POLICY ON
MILITARY AND POLICE CAPABILITY STUDY**

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A. Draft Guiding Template for a Joint Capability Study Report

A. PURPOSE AND RATIONALE

1. This policy establishes the framework for the conduct of Capability Studies (CS) of Military and Police components including Troop/Police to task assessment and of a DPO led UN peacekeeping operations (PKO) and Special Political Missions (SPM). The CS may either be undertaken as a Military Capability Study (hereafter known as MCS) led by the Office of Military Affairs (OMA); Police Capability Study (PCS), led by the Police Division (PD); or in most cases, as a joint Military and Police Capability Study (MPCS) with representatives from DOS and subject matter experts as necessary. In so far as possible and applicable in peace operations where UN Military and UN Police components are deployed together as part of the mission, all efforts shall be made to conduct a joint MPCS.
2. This policy outlines the principles and clarifies the roles and responsibilities that apply to all MCS, PCS or MPCS processes deployed in a particular mission. Detailed instructions for the OMA and PD joint planning and execution of a MPCS is provided in a related Standard Operating Procedures.
3. OMA and PD are responsible for the identification and deployment of military and police capabilities in a peacekeeping operation, in relation to the respective uniformed component's assigned tasks. The CS is a field assessment and/or desk assessment tool in this process which analyses the current capabilities against current and future anticipated tasks. The CS addresses all deployed Military and Police components personnel and units in a mission¹.

¹ Including United Nations Military Experts on Mission (UNMEM) in peacekeeping operations.

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4. This policy is necessary to provide conformity in preparation and execution, cohesion of effort and to utilise documented best practices for transparency and broad understanding and awareness of CS.
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B. SCOPE

5. This policy applies to OMA and PD leadership, and staff deployed in Military and Police components in peacekeeping operations as well as to other personnel from entities supporting the CS. This policy shall apply mutatis mutandis to Military and Police components in Special Political Missions. All relevant DPO/DOS/DPPA/DSS personnel and field missions should be aware of this policy.
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C. POLICY

Principles

6. In the peacekeeping operating environment, a capability is defined as the ability and readiness to accomplish defined tasks in accordance with a clear standard. It encompasses the combination of resources (personnel and equipment), preparedness (organisation, process and training), and logistics sustainment required to accomplish those assigned tasks. It is crucial that all such capabilities are delivered within the framework of the mission mandate and the Concept of Operations (CONOPs), fully adhering to the UN Peacekeeping Principles of consent, impartiality and non-use of force except in self-defence and defence of the UN mandate².
7. The military and police components and their capabilities in support of the mandate implementation will need to be flexible throughout the life cycle of a mission depending on the mandate, situation, operational environment, strategic direction including objectives, tasks, benchmarks, and different phases of the operation.
8. The objective of the CS, in support of the Military and Police component is three-fold:
 - a. Assess the effectiveness and utilisation of current capabilities for current objectives, tasks and phase, and increase the efficiency of existing resources.
 - b. Assess the effectiveness of current capabilities for future objectives, tasks and phases of the operation.
 - c. Assess military and police capacity to meet current and anticipated mandated objectives and tasks, in view of potential developments in the mission.
9. The assessment of the Military and Police components and their units covers the configuration, its capability and ability to function in relation to the operational environment and the ability to plan and execute all types of military and police tasks on a 24/7 basis and in

² United Nations Capstone Document on Peacekeeping Operations Principles and Guidelines, 2008.

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all environmental conditions impacting the assigned Area of Operations. The objective of undertaking a CS is to assess and subsequently propose recommendations on the capabilities of the Mission's military and/or police component, including their structure, configuration and capacity vis-à-vis the mandated tasks, including in relation to foreseeable contingencies. The assessments are conducted through the examination of the core capabilities of the Military and/or Police components.

- a. **Command, Control and Communications (C3).** The capability to exercise command over all assigned personnel and units, to control ongoing operations/tasks in accordance with plans, directives and policy and to direct events through the timely operationalisation and passage of Orders in order to deliver effect.
- b. **Operational and Tactical Information.** The capability to acquire, process and exploit information for tactical and operational advantage. These data, information, and details are critical for planning, executing, and managing the day-to-day activities and strategies of the mission. Operational information shapes the mission's overall direction, while tactical information guides the daily activities and responses necessary to fulfil the mission's objectives and maintain security and stability in the host country.
- c. **Peacekeeping Training** is defined as any training activity which aims to enhance mandate implementation by equipping UN military, police or civilian personnel, both individually and collectively, with the knowledge, skills and attitudes that enable them to meet the evolving challenges of UN peacekeeping operations in accordance with principles, policies and guidelines, as well as lessons learned from the field; perform their specialist functions in an effective, professional and integrated manner; and demonstrate the core values of competencies of the UN³.
- d. **Weapons and Ammunition Management.** Weapons and ammunition management (WAM) is the oversight, accountability and management of arms and ammunition throughout their life cycle, including the establishment of frameworks, processes and practices for safe and secure materiel acquisition, stockpiling, transfers, tracing and disposal. WAM focuses not only on small arms and light weapons but also on a broader range of conventional weapons, including ammunition and artillery⁴.
- e. **Force Protection.** The measures and actions taken by peacekeeping forces to ensure the safety and security of their own personnel, assets, and equipment while carrying out their mission in a potentially hostile or dangerous environment. Force protection/ safety and security are a fundamental aspect of peacekeeping missions and peacekeepers in SPMs, as it aims to minimise the risks and threats faced by peacekeepers, allowing them to effectively fulfil their mandate. It is the capability to provide protection from direct and indirect threats through the combination of risk analysis, physical security, procedural measures, intelligence and information sharing, counter-IED measures, training and

³ Training - Peacekeeping Resource Hub - Peacekeeping Resource Hub at Department of Peace Operations (DPO) (un.org)

⁴ Effective Weapons and Ammunition Management in a Changing Disarmament, Demobilization and Reintegration Context – DPO Handbook for UN DDR Practitioners, 2021.

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equipment and environmental health techniques. It is advised to use EOD/C-IED experts (for example UNMAS) for CS in an explosive ordnance threat environment.

- f. **Mobility.** It is the capability to move, transport and deploy personnel, equipment and supplies efficiently and effectively, both tactically and non-tactically, with the intention of repositioning military and police capabilities to the most advantageous location by the desired time. Mobility includes being able to move safely in an explosive ordnance threat environment. Mobility enables peacekeepers to respond to the demanding situations and adapt to changing circumstances.
 - g. **Sustainment.** It is the capability to sustain operations through the provision and distribution of all classes of supply, provision of medical support, application of a system of maintenance, application of an effective through-life management for ammunition, and care of the peacekeeper's morale and welfare to ensure the effectiveness, readiness, and well-being throughout the duration of their deployment.
 - h. **Interoperability.** It is the capability of military and police component to operate effectively in a coordinated and integrated manner in either a national or multinational context. It is the capacity of these diverse forces to operate jointly and collaboratively, despite differences in equipment, procedures, languages, and organisational structures.
 - i. **Civil Military/Police interaction.** The operational and tactical coordination between the UN uniformed components and civilian partners, especially the civilian components of UN field missions, UN agencies, funds and programs, host nations government, non-governmental organisations, and grass-roots organisations. Such coordination encompasses activities undertaken and/or facilitated by military and police components in UN field missions across the full spectrum of operations.
10. A CS is a coordinated DPO and DOS staff process to determine the best method of accomplishing tasks. It informs the establishment and review of military and police strategic and operational direction i.e., Military/Police Strategic Concept of Operations (CONOPS) including Statement of Force Requirements (SFR) and Statement of Unit Requirement (SUR), Rules of Engagement (ROE)/Directives on the Use of Force (DuF), and subsequently the Operations Order (OPORD)/ OPS Plan (for police) at the mission level. It also informs the review of Mission Factors.

Responsibilities

11. A CS may be requested by UNHQ (OMA/PD) or the mission in anticipation of a situation or mandate change or as a regular study⁵ in relation to the life cycle of the mission. However, CS may also be conducted as an ad-hoc activity in response to a crisis situation or major changes in the operational environment. A joint CS will be authorised by the USG DPO as proposed by the OMA Military Adviser and Police Adviser in consultation with Integrated Operational Team (IOT), the mission leadership and other relevant stakeholders. As the technical expert on COE framework and the custodian of MOU, the Uniformed Capability Support Division (UCSD) will

⁵ CS are conducted at least every two years.

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act as the DOS lead for the CS and coordinate inputs from other DOS stakeholders.

12. The Military Planning Service (MPS) in OMA together with the Strategic Policy and Development Section (SPDS) of PD generally undertake a MPCS and are usually supported by the mission and other DPO/DOS/DPPA/DSS entities after consultation. OMA and PD can also independently undertake their respective component specific CS without a recourse to each other.
13. All CS should reflect political considerations with guidance in this regard provided by the relevant regional division through the participation of the relevant desk, including in the assessment on the ground, to ensure that the outcome of the review is in line with the mandate of the Mission and the strategic direction of the UNHQ.
14. A CS may be conducted as a stand-alone activity, as a component of a periodic mission review or an inter-disciplinary integrated assessment. The CS principles remain similar in all cases. It must be well coordinated with other assessment initiatives. When part of an inter-disciplinary assessment mission, the CS is either scheduled immediately prior to the assessment, in order to inform the follow-on assessment, or immediately after to augment the planning. The CS is used for existing missions as well as in preparations for a mission start-up.
15. Other stakeholders and experts (for example UNMAS) may be called upon to provide specific technical/ thematic expertise.

Process

16. The process for planning and conducting an CS is built on six phases:
 - a. Scheduling.
 - b. Preparations.
 - c. Execution.
 - d. Reporting.
 - e. Implementation and
 - f. After Action Review.

Scheduling	Scheduling ⁶ is initiated through OMA & PD analysis of the life cycle of a mission, reviewing earlier assessments and anticipated changes in the mandate, situation and mission strategic-operational environment. This analysis includes other potential assessment missions and indications from the Security Council of requests for specific assessments. This phase culminates in an annual OMA/PD coordinated assessment plan including projections for the forthcoming year, when applicable, to follow
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⁶ Scheduling is not applicable when CS is determined as an ad-hoc activity. This will also have impact on time for preparation.

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	the related Results Based Budget (RBB) cycle assuring funds are available. Where feasible the CS should follow an organizational review within the mission (e.g. the Strategic Review or Office for Peacekeeping and Strategic Partnership (OPSP) routine review) which would ideally identify existing gaps and systemic issues that can be studied before, during and after the CS.
Preparation	The preparation phase starts, at least, three months before the execution of the CS, ensuring time for preparatory work and ends with the coordinated Terms of Reference (TOR) ⁷ . This phase includes preparations by UNHQ and the mission; analysis of all related strategic and operational direction including identified mandate gaps or systemic issues identified by regular OPSP reviews; consultation with UCSD/DOS and subject matter experts on COE/MOU and support related matters; development of political guidance in full consultation with the respective regional division and the mission leadership; ensuring shared situational awareness; and briefings and consultation with T/PCCs and as applicable, Military Staff Committee (MSC).
Execution	The execution phase starts with the deployment of the CS team to the mission and includes a consolidated briefing of key findings by the team to the mission leadership, including Head of Mission, Head of the Military and/ Police Component, and Director/Chief Mission Support. The phase concludes with the production of a draft report. To ensure consistency in the format of the joint CS report, the proposed template attached as Annex A should be used as a reference.
Reporting	The reporting phase starts with a briefing on the key findings and recommendations to OMA/PD leadership. This is followed by a final report within 30 days to USG DPO/DOS. The report should be coordinated with the mission and other UN partners, especially DOS. USG DPO/DOS will review and approve the report within 30 days of the receipt of the report. This phase may include briefing to USG DPO/DOS ⁸ , IOTs, and MSC.

⁷ Template for TORs is included in the related CS SOP. The TORs include at least background, objectives, methodology and responsibilities, schedule, composition of the CS, financial arrangements and results and timelines.

⁸ Logistical implications (e.g., troops induction/extraction/redeployment, COE induction/repatriation/redeployment, restructuring of support arrangements, etc.) as a result of the MPCs are to be coordinated with DOS/UCSD and Director/Chief Mission Support. Financial implications as a result of the CS are to be coordinated with DOS Field Operations Finance Division and the Director/Chief Mission Support to inform the timeline for implementation.

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Implementation	The implementation phase starts either after the USGs DPO & DOS approve the report or a SCR and possible changes in the strategic direction and ends with implementation of all the recommendations approved. The phase includes the establishment of a shared implementation matrix with the mission including timelines, regular updates by the mission and updates to the OMA/PD leadership, DOS, OROLSI and IOTs.
After Action Review (AAR)	The AAR phase starts with the lessons identified from the planning and execution of the CS collected by UNHQ and the mission and ends with OMA Military Adviser and Police Adviser's approval of lessons learnt for implementation in the next CS.

D. TERMS AND DEFINITIONS

17. For the purpose of this policy, the following terms and definitions apply:

a. **UN Integrated Assessment.** An integrated assessment is defined as any UN analytical process at the strategic, programmatic or operational level which carries implications for multiple UN entities, and which therefore requires participation by concerned UN entities. The Strategic Assessment is the analytical process used to undertake integrated assessment at the UN system-wide level to ensure a shared understanding of a conflict or post-conflict situation, to propose options for UN engagement and to articulate a common UN vision, priorities and respective responsibilities. Assessments of a technical nature, such as technical assessment missions (TAMs) and sector assessments initiated by either Secretariat departments or agencies, funds and programs, are integrated if and when their scope and operational implications relate to multiple entities of the UN system.

b. **Military Strategic Concept of Operations (CONOPS) and Statement of Force Requirements (SFR).** The military strategic CONOPS articulates the strategic/political intent for the utilisation of military capabilities to achieve military strategic objectives and end-state in support of the overall mandate implementation. The CONOPS should be consistent with the mandate and strategic direction and should drive the formulation of military component-level operational plans. As part of the CONOPS, the military capabilities and the composition of the force are stated in the SFR.

c. **Police Strategic Concept of Operations (CONOPS).** The CONOPS translates the strategic/political intent of the mandate into specific policing and law enforcement strategies and operational directives. It reflects the Police Adviser's strategic intent, and establishes the broad approach, roles and responsibilities, processes and resource requirements from which to formulate the police component's operational and work plans, SOPs and other guidelines in order to implement the mandated tasks of the police component.

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d. **Statement of Unit Requirement (SUR).** The Statement of Unit Requirements (SUR) is produced for each unit of the force or police component. The SUR includes mission, unit employment concept, tasks, capabilities, organisation, equipment (major and self-sustainment) and personnel.

e. **Operations Order (OPORD).** The Force/Police OPORD is based on and developed from the respective uniformed component CONOPS. The OPORD will be generated by the Force Headquarters (FHQ) and is issued by the Force Commander/Police Commissioner to subordinate formations/sectors for execution. Each subordinate military/Police unit will develop its own orders based on the OPORD.

f. **Rules of Engagement (ROE).** Issued by the USG/DPO for each particular peacekeeping operation and provide the authority for the use of force and explain the legal framework, policies, principles, responsibilities and definitions of the ROE.

g. **Directives on the Use of Force.** A technical directive issued by UNHQ regulating the use of force in strict accordance with the authorisation by the United Nations Security Council, the mandated tasks and the capabilities of police component. The use of force is regulated by the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, the Code of Conduct for Law Enforcement Officials and mission-specific guidance, such as Directive on the Use of Force (DUF).

h. **Mission Factors.** Mission factors are intended to compensate military and police contributors for extreme operating conditions in the mission area, where conditions impose significant and additional hardship and are to be applied to lease rates. They include:

- 1) Extreme environment such as mountainous, climatic and terrain conditions.
- 2) Intensity of operations such as the scope of the task assigned, length of logistic chains, non-availability of commercial repair and support facilities and other operational hazards and conditions, and
- 3) Hostile action and forced abandonment.

i. **Performance:** In the UN peacekeeping military and police operations context, Performance encompasses the execution of standardised military and police processes and tasks, and the holistic assessment of Headquarters, units or individual's operational success, compliance with mission mandates, demonstration of ethical conduct and behaviour, leadership's responsibility for actions and decisions, preparedness through training and equipment, accountability for actions and consequences, and the ability to work collaboratively within the mission and with local populations.

j. **Operational Performance Assessment:** Operational Performance Assessment in the context of United Nations Peacekeeping operations should be a systematic process of monitoring and evaluating the ongoing mission activities against its stated objectives. It involves continual observation, measurement, and evaluation of the effectiveness of actions and decisions in achieving mission objectives. From the UN operational planning

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perspective, performance refers to both action and effectiveness. Performance refers to the execution of tasks or actions with skill and efficiency, and it focuses on the process or behaviour involved in carrying out a specific activity or task; and refers also to the effectiveness or achieving desired outcomes.

E. REFERENCES

Normative or superior references

- A. A/64/572, Secretary-Generals Report, Comprehensive analysis of the Office of Military Affairs in the Department of Peacekeeping Operations, 2009.
- B. ST/SGB/2010/1, Secretary-General's bulletin, Organisation of the Department of Peacekeeping Operations, 2010.
- C. UN Policy on Integrated Assessment and Planning (IAP), April 2023.

Related procedures or guidelines

- A. Generic Guidelines for Troop Contributing Countries, 2008
- B. DPKO/DFS Guidelines on the Integration of Gender Perspectives into the Work of United Nations Police in Peacekeeping (2008.30)
- C. Military Planning Process for Peacekeeping Operations, Department of Peacekeeping Operations, Office of Military Affairs, Military Planning Service, 2009.
- D. DPKO/DFS Mission Evaluation Policy, 2010.
- E. UN Guidelines on Strategic Assessment, 2010.
- F. DPKO/DFS UNMEM Manual, Selection, Deployment, Rotation, Extension and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations, 2010
- G. DPKO and DFS Policy on United Nations Police in Peacekeeping operations and Special Political Missions, Ref. 2014.01 of 1 February 2014.
- H. DPKO-DFS UN Police Manual on Mission-based Police Planning (2017.13)
- I. DPO Guidelines on Combined Military and Police coordination mechanisms in Peace Operations (2019.16)
- J. Contingent Owned Equipment (COE) Manual, 2023 (A/78/87)
- K. UN Infantry Battalion Manual, 2020.
- L. UN DPO/DPPA/DSS SOP on The Handling of Detention in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2020.13 of 1 January 2021.
- M. Effective Weapons and Ammunition Management in a Changing Disarmament,

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Demobilization and Reintegration Context - DPO Handbook for UN DDR Practitioners, 2021.

N. United Nations Military Experts on Mission in United Nations Peacekeeping Operations, 2022.

O. Standard Operating Procedure on Military Capability Studies, 25 January 2022.

F. MONITORING AND COMPLIANCE

18. The implementation of this policy is monitored by DPO/OMA&PD. All DPO/DOS/DPPA/DSS staff, Heads of Mission, Heads of Military/Police Component and Directors/Chiefs of Mission Support in UN field missions shall support the implementation of this policy.

G. CONTACT

19. The Point of Contact (PoC) for this policy in OMA is the Military Planning Service (MPS). The PoC for this policy in PD is the Strategic Policy and Development Section (SPDS).

H. HISTORY

20. This is the second issuance of this policy. The first issue of this policy DPKO/DFS Policy on Military Capability Study, 2013 is hereby amended and replaced.

APPROVAL SIGNATURE :



Jean-Pierre Lacroix
Under-Secretary General
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DATE OF APPROVAL: 3 June 2025

APPROVAL SIGNATURE :



Atul Khare
Under-Secretary General
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DATE OF APPROVAL: 18 June 2025

Draft Guiding Template for a Joint Capability Study Report



United Nations

Department of Peace Operations/Department of Operational Support

Military and Police Capability Study Report

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1. REFERENCES

2. LIST OF ACRONYMS/ABBREVIATIONS

3. EXECUTIVE SUMMARY

- a. Purpose.
- b. Conclusions.
 - 1) ...
 - 2) ...
- c. Summary of Key Recommendations. Below is a summary of key recommendations.
 - 1) Military
 - a) Organization.
 - i. ...
 - ii. ...
 - b) Operations.
 - i. ...
 - ii. ...
 - c) Logistics and Infrastructure.
 - i. ...
 - ii. ...
 - 2) Police
 - a) Organization.
 - i. ...
 - ii. ...
 - b) Operations.
 - i. ...
 - ii. ...

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c) Logistics and Infrastructure.

i. ...

ii. ...

4. DETAILED REPORT ON THE MILITARY AND POLICE CAPABILITY STUDY

a. Background.

b. Objectives.

c. Methodology.

5. OPERATIONAL ENVIRONMENT

a. Current Situation (Political, Security, and Humanitarian Situation)

b. Threat Assessment.

c. Strategic Framework.

1) Mandate.

2) Mission End-State.

3) Mission Objectives.

a) Mission Concept.

b) Mission.

6. FINDINGS AND RECOMMENDATIONS - MILITARY

a. Organisation :

1) Force/Police Structure.

2) Staffing Situation.

3) Recommendations.

a) ...

b) ...

b. Operations.

1) Current operations:

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- a) Operational Order/Plan.
- b) Scheme of Maneuver.
- c) Deployment/Use of the Units.
- d) Interoperability.
- e) Medical
- f) Rules of Engagement (ROE)
- g) Force Protection/Safety/Security.
- h) Peacekeeping Intelligence.
- i) Direct Use of Force
- 2) Future operations
 - a) Contingency Plans.
 - b) Recommendations.
 - i. ...
 - ii. ...
- c. Logistics and Infrastructure.
 - 1) Information Technology and Communications.
 - 2) Environmental Management.
 - 3) Force Engineer Unit
 - 4) Aviation.
 - 5) Accommodation in Sectors and FOBs
 - 6) Recommendations.
 - a) ...
 - b) ...
- d. Command and Control.

7. FINDINGS AND RECOMMENDATIONS - POLICE

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- a. Organisation :
 - 1) Police Structure.
 - 2) Staffing Situation.
 - 3) Recommendations.
 - a) ...
 - b) ...
- b. Operations.
 - 1) Current operations:
 - a) Operational Order/Plan.
 - b) Scheme of Maneuver.
 - c) Deployment/Use of the Units.
 - d) Interoperability.
 - e) Medical
 - f) Rules of Engagement (ROE)
 - g) Force Protection/Safety/Security.
 - h) Peacekeeping Intelligence.
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 - 2) Future operations
 - a) Contingency Plans.
 - b) Recommendations.
 - i. ...
 - ii. ...
- c. Logistics and Infrastructure.
 - 1) Information Technology and Communications.
 - 2) Environmental Management.

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- 3) Force Engineer Unit
 - 4) Aviation.
 - 5) Accommodation in Sectors and FOBs
 - 6) Recommendations.
 - a) ...
 - b) ...
 - d. Command and Control.
8. **CONCLUSION.**
9. **IMPLEMENTATION MATRIX.** The Implementation matrix for military component and police component are attached as Annex D and Annex E.

ANNEXES:

- Annex A – Mission Deployment Map. Annex B – Terms of Reference.
- Annex C – Threat Assessment.
- Annex D – Implementation Matrix for military component.
- Annex E – Implementation Matrix for police component.