

Lesson 2



Police Command in a UN Context

Lesson at a Glance

Aim

The aim of this lesson is to familiarize the participants with the UN Police command structure in peacekeeping operations and to raise awareness of the accountability system in a UN context.

Relevance

All IPOs are affected by the SGF Guidelines on Command in Peace Operations, be it as member of a unit/section/team or as a (potential) UN Police Commander.

UN Police Command Staff needs to be operationally competent and knowledgeable in UN policing practices that comply with the Strategic Guidance Framework for International Policing.

The Guidelines include principles for any UN Police Commander tasked to lead officers from different countries with very different policing styles. They provide guidance for the unique challenges this operating environment presents in the context of collaborating with the host-State police service and other elements of the operation.

Accountability plays a key role for Police Commanders and all UN Police officers.

Learning Objectives

Learners will be able to:

- Illustrate the importance of effective leadership in the UN mission environment
- Describe the three levels of leadership and authority
- List to whom the UN Police Officers are accountable

Lesson Overview

The lesson is structured in the following manner:

- Leadership, Management, and Command in a UN Context
- Levels of Authority and Chain of Command
- UN Leadership Functions
- Accountability and Oversight

Lesson Map

Leadership, Management, Command in a UN Context	Slides 5 - 7
Levels of Authority and Chain of Command	Slides 8 - 12
UN Police and Military Cooperation	Slides 13
Accountability and Oversight	Slides 14 - 16

The Lesson

Duration: 90 minutes total

50 minutes: interactive presentation

40 minutes: learning activity and discussion



Starting the Lesson

For an interactive start, consider the following options:

- *Ask learners whether they have been deployed to any Peace Operations before. If so, ask them to identify their mission and whether they were holding leadership positions.*
- *Ask whether they hold a leadership position in their domestic police service.*
- *Ask whether there is a difference between police command modalities in a domestic setting vs. an international or United Nations setting? (Learning Activity 2.1)*
- *Ask learners if they agree with the following statement from the former Police Commissioner in UNMIL – Liberia. Why or why not?*

“It cannot be assumed that a good national police commander will automatically be successful when faced with the challenges of command within United Nations Peace Operations. Challenges faced at the national level are significant, but in the unique diversity and multidimensional environment of United Nations peacekeeping operations these are magnified”.

Discuss the relevance of that statement and this lesson with the learners before presenting the Learning Objectives and Lesson Overview. You will find background to the topic on the following pages.

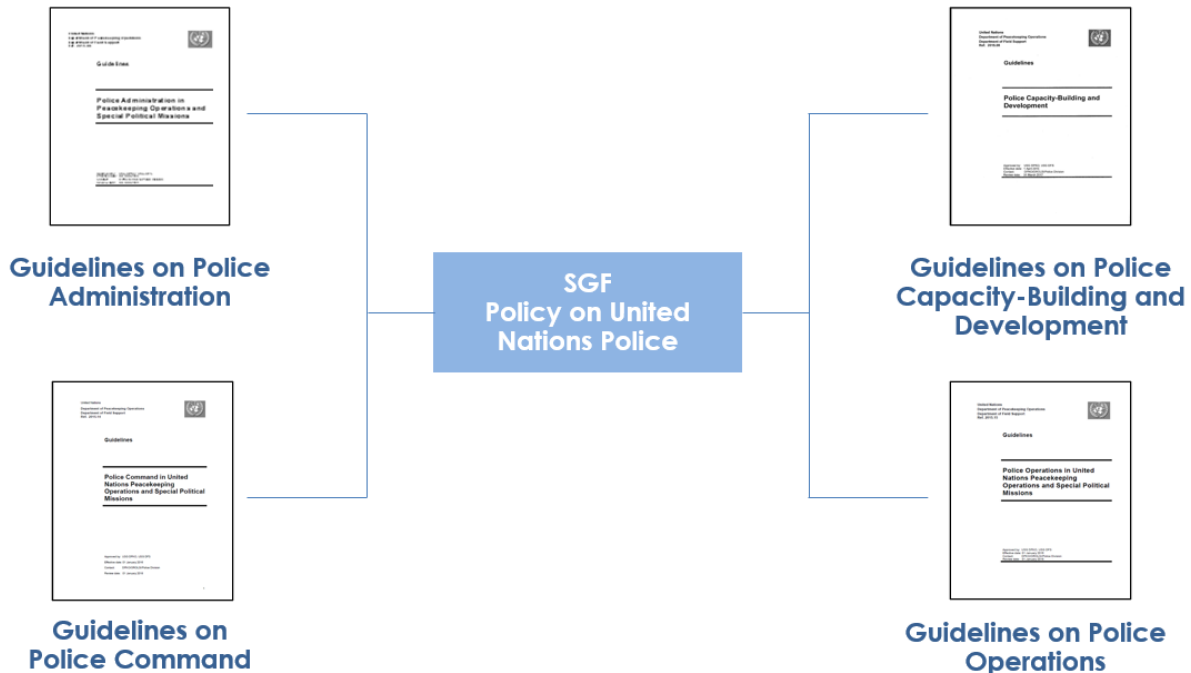
Introduce the following (using slides 1-4):

- *Aim*
- *Relevance*
- *Learning Objectives*
- *Lesson Overview*

Note the language of the UN. Learning will involve some words, terms and phrases which may be unfamiliar and/or seem awkward. Note to the learner: “Do not let the language get in the way of learning”. As you move through the training, review the definitions of key words and phrases.

Background for the Facilitator

The Strategic Guidance Framework (SGF) aims to enhance the effectiveness of UN policing through more consistent and standardised approaches to the provision of public safety, police reform and support to national police services and other law enforcement agencies. The SGF consist of four different Guidelines as shown in the model below:



Police Command: Ensuring overall accountability, providing strategic planning and vision and engaging in monitoring and evaluation. Management of resources, capabilities and structures required to lead a complex, multidimensional peace operation.

Police Capacity-Building and Development: Best practices for preparing police officers and host-State institutions to ensure long-term sustainability.

Police Operations: Guidance for day-to-day police work, applying the basic principles of community-oriented and intelligence-led policing strategies.

Police Administration: The administrative system needed for the effective management and efficient performance of the police component.

The FPU Evaluation Report (2017): This evaluation found a significant lack of leadership and command skills among some FPU Commanders, staff and coordinators along with a lack of awareness of the content of the revised FPU policy (2016). The lack of leadership was also demonstrated in the way that FPU operations were planned and conducted, either at operational or tactical level (for example, lack of task orders and operational plans). Police and military cooperation are often hampered by a misunderstanding of the role and purpose of FPUs, as well as challenges associated with ensuring the

independence of the police component from the military component. Where possible, mutually supportive operations should be conducted by police and military under the responsibility of their respective commanders.

Improving Security of United Nations Peacekeepers (dos Santos CRUZ Report on Fatalities among Peacekeepers 2017): The report identified lack of leadership as a main problem preventing the UN from adapting to the new high-risk environment.

The CRUZ report highlighted the quality of leadership at an operational level as essential to maintaining the security of peacekeepers. Leaders at this level often fail to take initiative and neglect basic regulations. It is the responsibility of the HOPC through delegated authority to police leadership to ensure that threat assessment, unit preparations, equipment inspection and issue and training are conducted prior to deployment and are specific to the situation on the ground. The UN is most often attacked as a result of inaction, not as a result of taking action.

The **UN Comprehensive Performance Assessment System (CPAS):** In its 2018 Report (A/72/19), the Special Committee on Peacekeeping Operations (C34) requested the “development of an integrated performance policy framework for mandate implementation based on clear standards for all relevant civilian and uniformed personnel working in and supporting peacekeeping operations in the Secretariat and missions”. CPAS is an evidence-based decision-making tool for assessing the performance of Peace Operations. It encompasses civilian, military and police components and facilitates Senior Management to take strategic decisions at regular intervals (e.g., course correction activities, re-allocating resources, and delivery of training where necessary). CPAS will be covered in Lesson 3 Police Administration.

Effective UN leadership considerations :

- Good leadership is a mission requirement.
- Unless there is good leadership, the mission is unlikely to succeed.
- UN leaders have to act in a new and complex environment.
- UN leaders require training.
- UN leaders must communicate and influence efficiently.
- UN leaders must be role models.

This lesson provides the participants with an overview of police command in the UN mission environment. The success of the police component in missions largely depends on the leadership and the command staff. In this lesson, participants will reflect on the importance of good leadership, command and control and discuss what effective leadership is in an international context.

Slide 5



Use the graphic on the slide to emphasize the importance of the Strategic Guidance Framework in UN policing practices.

The Strategic Guidance Framework (SGF) aims to enhance the effectiveness of UN policing through more consistent and standardised approaches to the provision of public safety, police reform and support to national police services and other law enforcement agencies. The SGF consists of four different Guidelines as shown in the model.

Learning Activity

2.1

Leadership in UN Police

Purpose: Allow participants to explore the differences between leadership in domestic policing and to policing in the UN.

INSTRUCTIONS:

- Ask participants to work in small groups (4-5 per group).
- Use the SGF Guidelines on Command in UNPKO and SPM as your source of reference. Paragraphs 6 and 7 will guide the exercise.


TIME: 20 minutes

- Group work: 10 minutes
- Discussion: 10 minutes

RESOURCES

- Slide with instructions to participants
- Flipcharts and markers

Learning Activity 2.1



Instructions

- **Discuss in your groups:** What is the difference between leadership in domestic policing compared to international policing?
 - **Time:** 20 minutes
 - **Discussion:** 10 minutes
 - **Feedback:** 10 minutes

Specialised Training Materials for United Nations Police 2021
6



During the debrief, emphasize the challenges we encounter as police leaders and how the working environment may influence how international police commanders define leadership, management and command. Police command in an international context (UN peace operations) is significantly different from command in a domestic setting. Use the following slide to summarize the key differences between leadership in domestic policing compared to policing in the UN.

Slide 7



Key Message: United Nations Police Commanders deploy to environments that are fundamentally different from their domestic policing context. Commanders serve in post-conflict or fragile settings often characterized by widespread human rights violations.

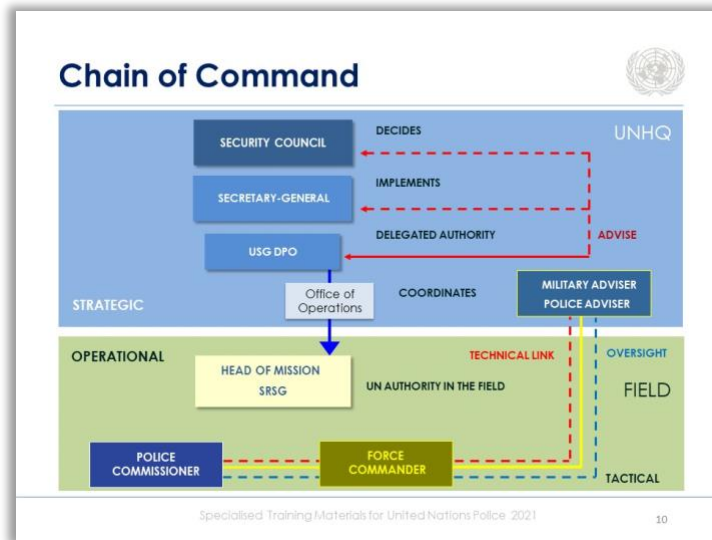
In most countries, police commanders can take a number of conditions for granted in their domestic policing role, such as:

- They represent the legitimate authority of a state to enforce a clear set of laws
- They understand the culture and speak the language of the community they serve
- They have access to the technical tools and equipment they need to perform their duties
- Their police colleagues' training and service are similar to their own.

United Nations Police Commanders cannot presume any of these conditions. Instead, they frequently work in unfamiliar environments where most, if not all, semblance of policing and other law enforcement may have either broken down or been incapacitated by conflict, and where they must navigate among the policing approaches of colleagues from many different countries and police services.

United Nations Police Commanders also serve primarily in multidimensional peacekeeping operations. This particular context requires United Nations Police Commanders to forge close cooperative relationships with elements they may not ordinarily interface with in a domestic setting, including political, military, humanitarian, human rights and other civilian components, as well as host-State and international actors. United Nations Police Commanders have to adjust to complex criminal justice systems that function quite differently from those in their home countries.

Slide 8



Key Message: The Head of Mission shall establish a Mission Leadership Team which includes among others the Police Commissioner and the Force Commander.

United Nations peace operations vary in size and scope and are configured in different ways, ranging from multidimensional missions that bring together civilian, military and police personnel with a civilian Head of Mission (HOM) to missions focused on military tasks, with the Force Commander as HOM (traditional peace operations).

The structure of a peace operations mission should reflect specific requirements, circumstances and mandates and should be tailored to each context. Authority, command and control structures for United Nations peace operations missions are relatively “flat”: Significant decision-making authority and responsibility are decentralised to the mission level.

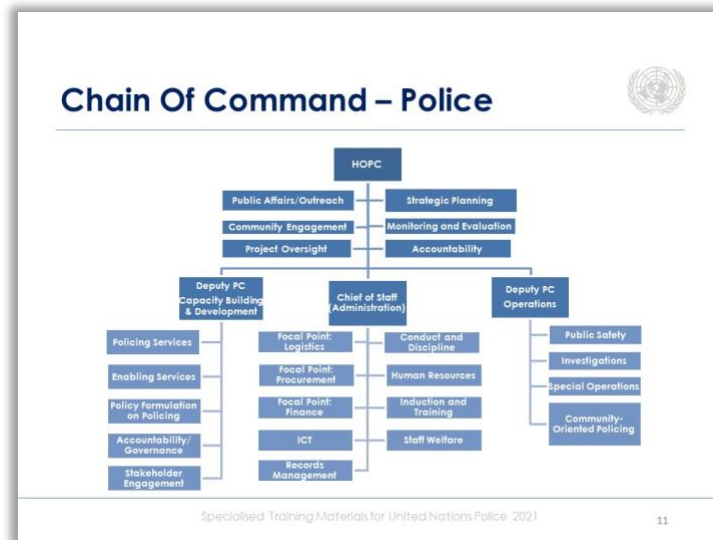
The HOM shall establish a Mission Leadership Team (MLT) to set strategies and policy priorities and communicate intent throughout the mission. The MLT facilitates coordination and decision-making and provides direction, oversight and monitoring of sectoral and thematic strategies or other priorities as determined by the mission mandate.

To ensure the effective and accountable implementation of the decisions made by the Security Council on specific police-related tasks and duties, the Special Representatives of the Secretary-General (SRSG) element confers responsibility and delegates authority and operational management to the Head of Police Component. He/she does not take orders or instructions from the UN Police Adviser on operational matters, but does maintain a technical reporting line to this office.



Point out that there are three levels of authority for decision-making in UN peace operations – strategic, operational and tactical. These levels are also known as levels of authority, command and control (AC2).

Slide 9



Key Message: The slide illustrates a typical structure and chain of command for a United Nations Police Component deployed to peace operations, in compliance with the Strategic Guidance Framework (SGF).

United Nations Police components are led by Heads of Police Components (HOPCs). These normally consist of a Police Commissioner (PC) in Peace Operations and a Senior Police Adviser (SPA) in Special Political Missions. The HOPC is responsible for the implementation of the mission mandate, including oversight of all operational and administrative tasks mandated to the police component.

The HOPC exercises his/her authority to direct, coordinate and control all personnel within the police component. These subordinate personnel include civilian staff, Individual Police Officers (IPOs), Formed Police Units (FPUs) and (when deployed to the mission) members of the Standing Police Capacity (SPC).

The HOPC establishes the operational chain of command as follows and as needed: HOPC, Regional Command, Sub-regional command, FPUs and sub-units. This police chain of command for operations shall be established as a “Field Command Framework”.

The HOPC can delegate authority to the appropriate subordinate levels but maintains overall responsibility. The HOPC (or his/her designated deputy) has tasking authority to deploy, re-deploy or employ all or part of an enabling unit to achieve the mission mandate, as well as the authority to task individual personnel, units and sub-units within the mission area. This authority extends to the delegation of responsibilities to the appropriate subordinate level.

The Police Commander should be able to identify when to take control or give direction and support without stifling staff initiative. He/she must be seen by staff as a resilient, active leader who listens, accepts feedback and is open to information and suggestions but is equally decisive when dealing with problems. He/she must actively demonstrate concern over people's welfare and not just how well those people perform their duties. A good commander needs to create a positive and transparent culture within the Mission to help foster trust and mutual understanding. The ability to involve, influence and develop others through providing direction, guidance, support and motivation are increasingly seen as critical skills for an effective leader.

Slide 10

Strategic Leadership



- Supports the long-term vision and mission of the UN and UN policing
- Provides the environment for personnel growth and accomplishing the organisation's strategic goals

Specialised Training Materials for United Nations Police, 2021 10

Key Message: The HOPC shall be responsible for developing a strategic plan for the police component based on mandated tasks. This plan must reflect short- and long-term organisational goals, objectives and priorities.

Strategic Leadership:

The Police Concept of Operations (CONOPS) codifies the UN Police Adviser's strategic intent and its relation to the mission mandate. It establishes the broad approach, tasks and responsibilities of the police component; explains programmes for delivery and lays out expected outcomes for police operations. The CONOPS plan identifies and provides the context for the activities, processes and resource requirements that inform mission plans, standard operating procedures and other guidance materials.


The HOPC shall use the Police CONOPS, along with approved United Nations Police policies and other guidance material (e.g., SGF), as the basis for providing police inputs into the mission concept. The mission concept may evolve over time in line with programme implementation and mandate changes, and the police CONOPS should be revised accordingly.

The HOPC maintains a technical reporting and communication link to the DPO Police Adviser at UNHQ. The technical reporting link must NOT circumvent or substitute for the direct command chain between the USG DPO, the HOM and the HOPC. Likewise, the technical reporting relationship should not interfere in decisions taken by the HOM or the HOPC in accordance with the policy.

Slide 11

Operational Leadership

- Provides the structure and systems that allow the organisation's vision and specific mission to be achieved
- The HOPC uses the Police CONOPS to develop the Police Operation Plan (OPLAN)—critical for planning and conducting police activities



Specialised Training Materials for United Nations Police 2021 13

Key Message: The Police CONOPS includes the UN Police Adviser's strategic intent and establishes the broad approach, tasks and responsibilities of the police component.

Operational Leadership:

The HOPC is accountable to the HOM for the management of the Police Component, with the responsibility of ensuring effective mandate implementation consistent with the Mission Plan and in compliance with the United Nations wide policy framework.

Police Commanders are required to manage the multiple expectations held by the three levels of command. They must maintain awareness of the many tactical concerns and requirements even while working primarily at the strategic and operational levels.

The Police CONOPS should inform the HOPC's development of the Police Operational Plan (OPLAN). The Police OPLAN is critical for planning and conducting police operations and should be considered as the most important planning document to be developed by the HOPC. The HOPC and the Police Division at UNHQ shall coordinate on the development and implementation of this and all other mission-specific policies, guidelines, directives and planning tools.

Slide 12

Tactical Leadership

- Tactical leadership concerns **the HERE and NOW** accomplishment of immediate objectives. It may require risk-based decision-making, weighing the needs of the mission against the needs of the unit.
- Implementation of the **Police OPLAN**



Specialised Training Materials for United Nations Police 2021 12

Key Message: The HOPC may assign police personnel and units to a specific subordinate commander who will exercise “UN tactical command and control”.

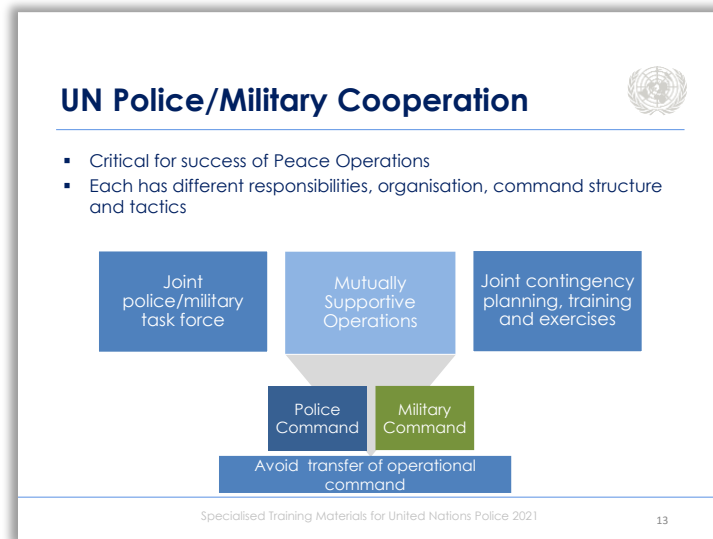
Tactical Leadership:

The HOPC may assign police personnel and units to a specific subordinate commander who will exercise “UN tactical command and control”.

The FPU Commander will take tactical command of the unit.

IPOs selected as section chiefs or team leaders will take tactical command and control as appropriate within their assigned section or unit.

Slide 13



Key Message: Police and Military components in United Nations peace operations have different responsibilities, organisation, command structure and tactics and as a general rule must be separate.

The relationship between police and military is critical to the success of peace operations. It is important, however, to understand the different functional responsibilities and command structures of these two components. As a general rule, transfer of command and control of uniformed units, sub-units and personnel should be avoided.

Under specific conditions (such as crises or critical incidents), police and military personnel may be placed under *operational command* of other uniformed components. In these instances, the uniformed unit or sub-unit retains tactical control within the chain of command. This concept is called the **Joint Task Force**.

One example of this arrangement is the joint police and military task force in the Central African Republic (MINUSCA) known as the Bangui Task Force. In this Joint Task Force, a senior United Nations military officer leads daily operations and is authorised operational control limited to a specific area of operation (operational box is Bangui).

United Nations Police can never be placed under tactical command and control of host-State police. Any joint or coordinated operations must be in compliance with the Human Rights Due Diligence Policy (HRDDP) which is covered in STM Lesson 4.

In **Mutually Supportive Operations**, modalities for cooperation between military and police are broadly outlined in the **(2015) DPKO/DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions**. These guidelines

include provisions relating to the primacy of each actor under different, broadly-defined circumstances such as situations of public disorder of a non-military or military nature.

In mutually supportive operations with the military component, a police tactical area of operation and a surrounding military security support zone should be established to define the respective tactical areas of responsibility.

Police operations are conducted under the tactical control of the designated police commander at the site. This tactical area of operation is called the “blue box” and it is located within the military component’s “green box” area of operation. The police shall not transfer primary responsibility for resolving rule-of-law incidents to the military component unless the local threat reaches a level that is determined by the HOPC’s on-site delegate to be beyond police capacity.

The military units can be deployed to support the police operation. Both areas shall be defined in terms of time and space as outlined in the operational planning documents, and the transfer of authority should be planned in advance. Any component entering the other’s area of responsibility shall be under the tactical control of the commander (police or military) present at the site. In such scenarios, a joint command post should be established where representatives of the police and military can follow and tactically coordinate the operation.

Standard operating procedures for joint activities involving military and police components must be established in the early stages of a peace operations mission. Provisions for joint contingency planning, training and exercises should be organised and conducted on a regular basis.

Learning Activity

2.2

Accountability and Oversight

Purpose: Allow participants to discuss the concept of accountability and why it is important to Law Enforcement Officials. To whom are we accountable?

INSTRUCTIONS:

- Ask participants to work in small groups (4-5 per group).
- Use the SGF Guidelines on Command in UNPKO and SPM as your source of reference. Paragraphs 47,76 and 77 will guide the exercise.

TIME: 20 minutes

- Group work: 10 minutes
- Discussion: 10 minutes


RESOURCES

- Slide with instructions to participants
- Flipcharts and markers

Learning Activity 2.2

Instructions

- **Discuss in your groups:** What does accountability mean to you and why is it important to Law Enforcement Officials? Who are we accountable to?
 - **Time:** 20 minutes
 - **Discussion:** 10 minutes
 - **Feedback:** 10 minutes



Specialised Training Materials for United Nations Police 2021
14



During the debrief, emphasize that law enforcement institutions are entrusted with a diverse set of tasks and powers requiring a high degree of integrity within police agencies and their oversight. In post-conflict environments, levels of trust in the police and other law enforcement agencies may be low. Effective police accountability involves many different actors representing the different layers of modern democracies, including government representatives, the parliament, the judiciary, civil society actors like media and independent oversight bodies such as national human rights institutions and the Ombudsman.

Slide 15

Accountability and Oversight





Internal and external checks and balances ensuring the performance of police functions is of the highest standard and that officers are held responsible

- Prevention of misusing police power
- Enhancing public confidence
- Reestablishing police legitimacy
- Reporting on ALL incidents
- Stakeholders

Specialised Training Materials for United Nations Police 2021
15

Key Message: Accountability is a system of internal and external checks and balances to ensure that police perform to the highest standard the functions expected of them and that they are held accountable if they fail to do so.

Law enforcement institutions are entrusted with a diverse set of tasks and powers requiring a high degree of integrity within police agencies and their oversight. When oversight functions are not effective, law enforcement agencies may become vulnerable to officers who may act unlawfully and outside their remit. Police reform interventions are much needed in post-conflict societies as well as in many non-conflict situations. These interventions often come in the form of re-selecting and re-training police officers with a focus on human rights principles.

In the United Nations, **accountability** refers to a system of internal and external checks and balances aimed at ensuring that police perform to the highest standard the functions expected of them, and that they are held accountable if they fail to do so. This system is emplaced to prevent the police from misusing their powers, to ensure observance of human rights, to prevent political authorities from misusing their control over the police and—most importantly—to enhance public confidence and establish police legitimacy.

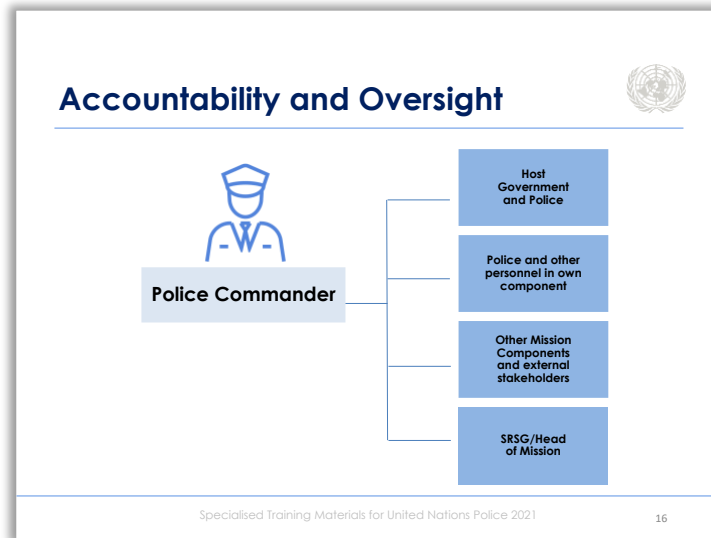
United Nations Police Commanders at all levels shall hold themselves and their subordinates rigorously accountable to United Nations standards of conduct, including provisions related to the prevention of sexual exploitation and abuse and the zero-tolerance policy regarding those behaviours.

United Nations Police Commanders shall take appropriate measures to ensure that subordinates abide by the United Nations standards of conduct and report any violations thereof.

UNPOL command is to be held accountable for clear tasking and for defining expected outcomes at the tactical, operational and strategic levels. Ultimately, it is the HOPC's command responsibility to ensure that accountability is systematically implemented and supervised.

Fostering accountability and building national oversight mechanisms is also a key priority in UNPOL's work to mentor, monitor and advise the host-State police.

Slide 16



Key Message: Accountable policing means that the police are accountable to the law, as are all individuals and institutions in the State.

Effective police accountability involves many different actors representing the different layers of modern democracies including government representatives, the parliament, the judiciary, civil society actors (e.g., the media) and independent oversight bodies such as national human rights institutions and the Ombudsman.

United Nations Police Commanders are accountable to multiple stakeholders, as is true for all professional police leaders. They are accountable to United Nations standards of conduct, local laws, UNHQ and host-State authorities, the officers under their command and the communities they serve.

UN policing must comply with the principles of democratic policing—responsive, representative, accountable, transparent and protective of human rights.

In post-conflict environments, levels of trust in the police and other law enforcement agencies may be low. Moreover, the population as a whole or certain subgroups may have experienced discrimination or other forms of abuse at the hands of the police. The public and tangible demonstration of accountability mechanisms in action will help overcome distrust of the police among these populations. A more accountable police service and higher quality police oversight will improve public safety by helping the police establish a reputation for fairness, enabling police to protect all citizens and in turn receive their cooperation.

Slide 17

Summary of Key Messages

There are three levels of authority for decision-making in UN peacekeeping – strategic, operational and tactical. These levels are also known as levels of authority, command and control (AC2).

Command and leadership in a domestic setting fundamentally differs from leadership in UN Policing.

Police and Military components in United Nations Peace Operations have different responsibilities, organisation, command structure and tactics and must be separate.

Accountability refers to a system of internal and external checks and balances aimed at ensuring that police perform their functions to the highest standard and are held responsible if they fail to do so.

Specialised Training Materials for United Nations Police 2021 17



Emphasize the key points from this lesson. Ask participants to reflect on how each of these points will apply to their roles as IPOs.

Summary

- There are three levels of authority for decision-making in UN peacekeeping – strategic, operational and tactical. These levels are also known as levels of authority, command and control (AC2).
- Command and leadership in a domestic setting fundamentally differ from leadership in UN policing.
- Police and Military components in United Nations Peace Operations have different responsibilities, organisation, command structure and tactics and must be separate.
- Accountability refers to a system of internal and external checks and balances aimed at ensuring that police perform their functions to the highest standard and are held responsible if they fail to do so.

Reference Materials

Below are materials, which are a) referenced in this lesson, and b) required reading for instructor preparations:

- DPO/DOS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (2019.23)
- DPKO/DFS Policy (Revised) on Formed Police Units in United Nations Peacekeeping Operations (2016.10)
- DPA/DPKO/DFS Policy on Accountability for Conduct and Discipline in Field Missions (2015.10)
- DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014.01)
- DPKO/DFS Policy on United Nations Human Rights Due Diligence (2013)
- DPKO/DFS Guidelines on Police Administration in United Nations Peacekeeping Operations and Special Political Missions (2016.26)
- DPKO/DFS Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (2015.15)
- DPKO/DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions (2015.14)
- DPKO/DFS Guidelines on Police Capacity Building and Development (2015.08)
- DPKO/PD Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations (DPKO/PD/2006/00135)
- UN OHRM Competency Development Guide
- UNODC Manual on Accountability, Oversight and Integrity.