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Department of Field Support
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Guidelines

Police Command in United Nations Peacekeeping Operations and Special Political Missions

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DPKO-DFS GUIDELINES ON

Police Command

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A. PURPOSE

1. These Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) Guidelines on Police Command (hereafter referred to as 'the Guidelines') spell out the fundamental principles and approaches to United Nations police command.
2. The Guidelines are designed to assist United Nations police command staff in carrying out their duties and leading the police component in the fulfilment of mandated tasks, which can include capacity-building and development and/or operational support to host-State police and other law enforcement agencies, as well as interim policing and other law enforcement duties whenever executive authority is mandated.

B. SCOPE

3. These Guidelines should be read in conjunction with the overarching DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (Ref. 2014.01) and the associated DPKO-DFS Guidelines on Police Capacity-Building and Development (Ref. 2015.08) and DPKO-DFS Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (forthcoming). These Guidelines shall provide the context for the future development of manuals, standard operating procedures, training materials and other guidance documents related to police command. Reference should also be made to the DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2008.4).
4. These Guidelines shall apply to all command staff of the United Nations police components in missions led by DPKO, as well as in special political missions (SPMs) led by the Department of Political Affairs (DPA). They shall also apply in potential future roles as mission environments and needs evolve, e.g., deployments in the context of the Global Focal Point for the Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations (GFP).
5. These Guidelines shall also apply to situations in which the United Nations police are mandated to partially or entirely fill the policing and other law enforcement vacuum while the host-State police and other law enforcement are being prepared to take over their domestic responsibilities. They shall apply to any operational support tasks undertaken by the United Nations police and shall serve as a point of reference in contexts where the United Nations police are mandated to assist in the capacity-building and development of the host-State police.

C. RATIONALE

6. United Nations police commanders deploy to environments that are fundamentally different from their domestic policing contexts. They 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: that they represent the legitimate authority of a state to enforce a clear set of laws; that they understand the culture and speak the language of the communities they serve; that they have access to the technical tools and equipment they need to perform their duties; and that their police colleagues' training and service are similar to their own. United Nations police commanders cannot presume any of these conditions and instead frequently work in unfamiliar environments where most, if not all, semblance of domestic 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.
7. United Nations police commanders also primarily serve in multidimensional peacekeeping operations. This particular context requires United Nations police commanders to forge close cooperative relationships with elements that may not ordinarily interface in a domestic

setting, including political, military, humanitarian, human rights and other civilian components, as well as host-State and international actors. Cooperation between the United Nations police with other rule of law actors such as the judiciary and corrections is carried out in accordance with the prevailing host-State legal framework, so police commanders may have to adjust to complex criminal justice systems that function quite differently than those in their home countries.

8. United Nations police commanders must also always remain aware of the political nature of their work. Re-establishing or restoring police and other law enforcement institutions in a post-conflict setting is fundamentally political, as it involves shifting power and access to key instruments of the state. Control over police enhances power and influence, both outside and within the police organization, making these institutions susceptible to corruption. All of these factors can affect how the United Nations police approach the implementation of their mandated tasks.

9. Commanding police components in these unique and challenging circumstances requires a broader set of specific skills that police commanders may not have attained in their domestic capacity. They must have experience in strategic planning; monitoring and evaluation; project management and oversight; gender and environmental mainstreaming; human rights integration into planning and operations; public affairs and outreach; community engagement; international police cooperation; support for humanitarian assistance, including addressing the needs of refugees and internally displaced persons; and mass migration, among many other skills.

10. By defining the fundamental principles and concepts of United Nations police command, these Guidelines shall serve to guide mission command and inform other mission components and host-State police as to how the United Nations police approach the management of their mandated tasks. In the same way, these Guidelines shall inform Member States of the understanding and approaches of United Nations police command and the skill sets required of command staff on secondment to United Nations peacekeeping operations and special political missions. These Guidelines and the subsequent guidance materials in this area are to be inculcated in United Nations police leadership training.

D. GUIDELINES

D.1 GUIDING PRINCIPLES FOR UNITED NATIONS POLICE COMMANDERS

11. **Mandates demand responsibility.** United Nations police components are led by Heads of Police Components (HOPCs): ordinarily a Police Commissioner in peacekeeping operations and a Senior Police Adviser in SPMs. The HOPC is responsible for the implementation of the mission mandate, including overseeing all operational and administrative tasks mandated to the police component. Command is defined by the United Nations as the authority vested in an HOPC for the direction, coordination and control of police personnel. The HOPC derives his or her authority and responsibilities from the mission mandate and other relevant guidance. These Guidelines provide guidance for all United Nations police personnel who assume command roles, unless specific reference is made to the HOPC.

12. **Know when to lead, command and manage.** *Leadership* entails articulating a vision and being able to provide the guidance, core values and principles needed to implement that vision. It includes, among other things, negotiating, influencing and building relationships. *Command* involves the development of strategies on different levels and within different timeframes, identifying the knowledge, skills and experience required to make decisions, execute plans and prepare for contingencies. *Managing* means handling organizational and institutional issues, understanding systems and processes and holding others accountable to

ensure service delivery. A United Nations police commander may be called upon to do one or all of these at the same time.[1]

13. **Manage human resources effectively.** Police commanders must have a profound awareness that each member of the United Nations police component contributes to the success of the mission. Therefore, service and humility are two guiding principles of command responsibility. The optimal use of available human resources is equally as important. Police commanders shall assign United Nations police officers to appropriate duties, responsibilities and positions based on their backgrounds and experience in accordance with mission requirements and job descriptions. Special skills, national diversity and gender balance must also be taken into account when making assignments.[2]

14. **Recognize situations and react accordingly.** United Nations police commanders must be able to respond to various command situations. To do so, they must understand the importance of policing style, engagement with the host-State authorities, the general public and civil society organizations; inter-operability and partnership with the military and civilian elements of the United Nations and/or other international actors; and issues on the use of force in order to create the environment for effective command. Command situations can generally be clustered into four types, which are defined in Section E ("Terms and Definitions"): steady state, rising tide, planned operation and spontaneous incident. Although specific circumstances and response requirements will vary depending on the type of incident, basic principles of police command will likely remain the same. Police commanders shall identify, develop and practice these principles in order to increase the police component's capacity to deal with crises and other potential causes of uncertainty.[3] Regardless of the level of intervention, the principles of community-oriented policing shall always apply; that is, consulting with communities; responding to communities; mobilizing communities; and working with communities to solve recurring problems.

15. **Balance competing responsibilities.** Police commanders shall have a thorough understanding of United Nations rules, regulations and procedures to acclimate quickly, make sounder decisions and overcome bureaucratic hurdles. He or she must manage, oversee and monitor adherence to a policy framework at the operational level that guides the achievement of objectives and mission mandates, including the development of mission-specific guidance, as needed. The HOPC shall develop the police component's mission statement in accordance with the overall objectives of the mission and provide or reiterate this to all personnel of the police component. She or he shall also ensure that all United Nations police officers receive training and guidance on how to carry out their duties in accordance with the relevant guidance materials developed by DPKO during the induction phase and prior to deployment. A list of essential policies and other relevant guidance materials can be found in Section F ("References") of these Guidelines.

16. **Understand their own roles in a complex setting.** In addition to the necessary technical skills, United Nations police commanders need to be capable of managing officers from diverse backgrounds. They must act as mentors, negotiators, mediators, consensus builders and diplomats and must possess strongly honed communication skills. They should be prepared to interact with multiple or competing parties irrespective of regional or other

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[1] Brown, Maureen, Durch, William, and Stiernblad, Henrik (2014, October). *Principles of International Police Command*. Paper presented at the Thematic Meeting of Experts on Police Command, Pretoria, South Africa, co-organized by the United Nations Police Division, Institute for Security Studies and Swedish National Police.

[2] More detailed guidance with regard to administrative issues such as recruitment, payroll, compensatory time-off, etc., can be found in the forthcoming DPKO-DFS Guidelines on Police Administration in Peacekeeping Operations and Special Political Missions; the Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations (2007); and the Standard Operating Procedures on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (2012).

[3] During the initial stages of any command situation, there will be a lack of information, intelligence and situation awareness. It is essential to adopt and utilize an effective and consistent decision-making doctrine that is understood by all. An example of such a model can be found at: http://www.jesip.org.uk/uploads/resources/JESIP-Joint-Doctrine.pdf

potentially divisive considerations. Police commanders also need to be able to operate within international human rights law frameworks that may conflict with their own or the host-State's criminal and judicial statutes, cultural practices and traditional or common law systems.[4] To do so, they must be able to transcend their own cultural and societal contexts in order to act as representatives of the United Nations and abide by the United Nations Charter and United Nations standards and policies.

17. **Prioritize capacity-building.** While United Nations police commanders deploy to environments that often require them to "hit the ground running" and may find themselves preoccupied with day-to-day operational exigencies, they should develop and implement a training and capacity-building program for host-State police and other law enforcement to increase the likelihood of achieving mission mandates and to ensure the long-term sustainability of their efforts. This program should include benchmarks and indicators of success. Police commanders should always remain aware of the relationship between their operational and capacity-building activities: the operational support the United Nations police provide to the host-State police helps foster the stability and environment needed for capacity-building and development work, which in turn strengthens the effectiveness of mutually supportive operational activities. Capacity-building efforts should be based on a strategic plan covering individual personnel, organizational units and the broader institution.[5]

18. **Protect, promote and respect human rights.** In all aspects of their activities, United Nations police commanders shall ensure respect for and compliance with human rights standards. They shall reinforce the responsibility of all personnel of the police component to advance human rights through their functions, promptly record and share information on allegations of human rights violations, and be prepared to intervene to stop human rights violations. Police commanders shall ensure that adequate instructions are in place from the onset of a peacekeeping operation or special political mission to guide the actions of police personnel when confronted with human rights violations while performing their tasks. Police commanders shall cooperate closely with the head of the human rights component to anticipate, plan and prepare for possible crises, escalations of violence and upsurges of human rights violations, within the limits of their mandate and capacity. Police commanders shall ensure that personnel under their command adhere to the principles of democratic policing, i.e., policing that is representative, responsive and accountable.[6] *Representative policing* aims to ensure that the human rights of all people, without distinction of any kind, such as based on race, color, descent, national or ethnic origin, gender identity, sexual orientation, religion, language, political opinion, property, birth or other status, are protected, promoted and respected and that police personnel represent the communities they serve. *Responsive policing* ensures that police respond to the needs and expectations of the public, especially in preventing and detecting crime and maintaining public order and safety, in accordance with international norms and standards in crime prevention, criminal justice[7] and human rights law. *Accountable policing* means that police are held accountable to the communities they serve and to the democratic and political institutions of the state through their conduct and the effective use of the resources allocated to them.

19. **Zero tolerance for misconduct, including sexual exploitation and abuse**. United Nations police commanders at all levels shall hold themselves and their subordinates rigorously accountable for observing the United Nations standards of conduct, including provisions

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[4] Caparini, Marina and Livingstone, Ann. African perspectives on challenges of police command in peace support operations, Institute for Security Studies, November 2014, p. 8.

[5] See DPKO-DFS Guidelines on Police Capacity-Building and Development (Ref. 2015.08) for detailed guidance on this topic.

[6] In accordance with the DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (Ref. Ref. 2014.01).

[7] Guidance on this topic can be found in the Handbook on United Nations Criminal Justice Standards for United Nations Police, developed jointly by the United Nations Department of Peacekeeping Operations and United Nations Office on Drugs and Crime. See (http://www.unodc.org/documents/justice-and-prison-reform/08-58900_Ebook.pdf).

related to the prevention of sexual exploitation and abuse[8] and the zero-tolerance policy regarding that. The United Nations standards of conduct specifically prohibit sexual relations with prostitutes and with any persons under 18 years old, regardless of the age of consent in the host State, and strongly discourage relations with beneficiaries of assistance such as food, housing or aid as a result of a conflict, natural disaster or other humanitarian crisis or in a development setting.[9] Mission-specific directives prohibiting fraternization, except where it relates to professional relationships needed to achieve the mandate, may also be issued. 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.

20. **Facilitate the flow of information**. Police commanders are expected to delegate, within a clear framework of tasking, ensuring the most appropriate allocation of qualified and enabled resources, and ensuring accountability to defined results. Police organizations, including the United Nations police, require adherence to an effective and efficient chain of command. United Nations police commanders should understand the need for the hierarchic processing of strategic information to their own mission leadership in order to enable interaction between the mission and UN Headquarters (UNHQ). At the same time, police commanders must facilitate the highly collaborative sharing of information. It is crucial to disavow the "silo" mentality and to prioritize the free and rapid flow of information – bottom up, top down and laterally – with other mission components and United Nations entities as appropriate, to the maximum extent possible. They must also proactively engage in and support daily communication with the Police Division at UNHQ in New York.

21. **Manage expectations.** Senior leadership in peace operations find themselves challenged by a large and complex set of expectations. United Nations police commanders must be able to manage expectations, notably in dialogue with domestic stakeholders within their own mission environment. Legitimacy and credibility are frequently hard to win but easy to lose. If the host-State population perceives that the United Nations has failed to deliver as expected, it will become more difficult to implement the mandate. Likewise, United Nations police commanders might be confronted with expectations from within the police component and from representatives of police-contributing countries. Goals and timelines for the achievement of objectives should be collaboratively developed, realistically set and clearly communicated with all relevant stakeholders.

22. **Foster awareness of the local context.** Police commanders should know and understand the cultural landscape of the host State and engender among their personnel an appreciation of its language, history; geography; political and economic systems; cultural and religious practices; ethnic minorities; gender roles in society; and local approaches to conflict resolution.[10] Without this awareness, it will be difficult for the police component to support the mission's efforts to promote local ownership, assist with the design of institutional infrastructures and plan for the eventual transition of security responsibilities to the host-State authorities following the United Nations' departure or withdrawal.[11]

23. **Treat community members as partners.** Community-oriented policing recognizes that community problems, of which crime is one, require community solutions and support. United Nations police commanders shall implement community-oriented policing strategies to encourage the public, particularly women and minorities, to become partners in preventing and managing crime, as well as other aspects of security and order based on the needs of the community. Police commanders shall ensure that supervisors at all levels are trained in the management of community-oriented policing, in particular, how to encourage and

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[8] Sexual exploitation is any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Sexual abuse is defined as the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. See also the Secretary-General's Bulletin: Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13).
[9] For more information, see (http://www.un.org/en/peacekeeping/documents/2015factsheet.pdf).
[10] Caparini et al, p. 16.
[11] *Ibid*.

facilitate community-oriented policing activities by subordinate officers,[12] and that they are putting its core principles into practice. Police commanders should take steps to keep community members abreast of progress made on their cases and requests. To foster cooperative relations, police commanders should consider creating consultative committees in each patrol area or police precinct composed of representative members of the public, including women.

24. **Employ intelligence-led policing strategies.** United Nations police commanders shall also use criminal intelligence, i.e., processed information on crimes and criminality, to plan, prioritize and allocate resources in undertaking crime-reduction strategies. While criminal intelligence may be assigned to specific personnel within the United Nations police component, all United Nations police officers, including those deployed out in the regions, sectors or sub-sectors, shall be responsible for collecting and reporting information that may help identify criminal conspirators and perpetrators. The United Nations police leadership shall convey this obligation to all members of the police component.

25. **Comprehensive integration of gender equality commitments.** United Nations police commanders should a) encourage and facilitate the participation of women and girls in decision-making, planning, implementation and oversight; b) strive to ensure that the police and its policies respond to the different rights, perspectives and needs of women, girls, men and boys and in particular provide effective human rights protection, including protection from and response to sexual and gender-based violence (SGBV); and c) comply with the standards of the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) and other international human rights instruments, the mandates set forth in United Nations Security Council (UNSC) resolutions[13], as well as the basic principles for a United Nations approach to security sector reform (SSR), as outlined in the Secretary-General's report on the role of the United Nations in supporting SSR (Ref. S/2008/39).

26. **Encourage, but provide constructive feedback when necessary.** United Nations police commanders often have to build confidence and rapport with the host-State police to attain the level of trust required for effective mentoring and advice, while at the same time reacting to and recording inefficiencies and wrongdoings by host-State counterparts which they witness and/or which are brought to their attention, including human rights violations. United Nations police commanders and all other UNPOL officers involved in operational support and capacity-building need to advise and communicate to the host-State police at the very start of their work together of the United Nations police's duty to provide both positive and constructive feedback, thereby offering a candid solution to address identified issues in partnership.

27. **Manage performance.** Addressing human resource issues related to performance management and developing a performance management system that fully supports United Nations coherence is a key role for police commanders to ensure the efficient and effective delivery of the mandate and to achieve value for money. Police commanders should have an understanding of the principles of work planning, ongoing feedback, reviews and appraisals while assessing their own performances to overcome obstacles and challenges.[14]

D.2 POLICE COMMAND IN A UNITED NATIONS CONTEXT

D.2.1 Chain of command

28. **Levels of command.** The three levels of command within a United Nations peace operation are:

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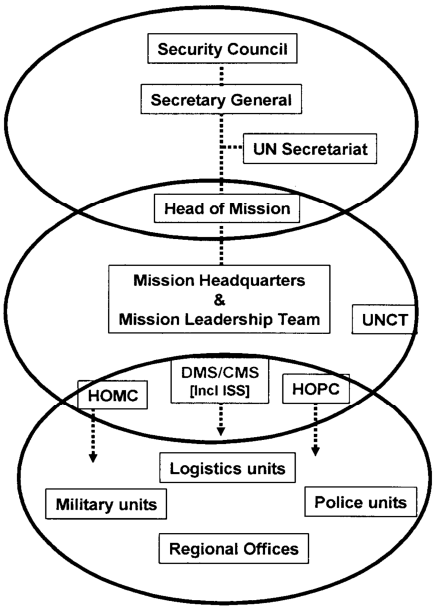
[12] See the forthcoming DPKO-DFS Guidelines on Police Operations in Peacekeeping Operations and Special Political Missions (2015) for detailed guidance on community-oriented policing.

[13] In particular, see UNSC resolutions 1325 (2000), 1820 (2008), 1888 (2009), 1889 (2009) and 1960 (2010) as well as other relevant resolutions.

[14] See Performance Management in Support of UN Coherence, United Nations Development Group, 19 June 2008.

- *Strategic command* takes place at the political or Headquarters level. UNHQ provides high-level political direction and advice as well as logistical and administrative support.
- *Operational command* involves mission headquarters and leadership team, who report to UNHQ and direct field operations.
- *Tactical command* encompasses the implementation of the mission plan by civilian and uniformed personnel and units working in regional or field offices.



29. Police commanders shall need to be able to manage multiple – though sometimes competing – expectations across the three levels of command. They must be aware of the many concerns and requirements at the tactical level, even while working primarily on the strategic and operational levels. They must also coordinate command responsibilities with the host-State authorities, as well as with other mission components and external stakeholders.

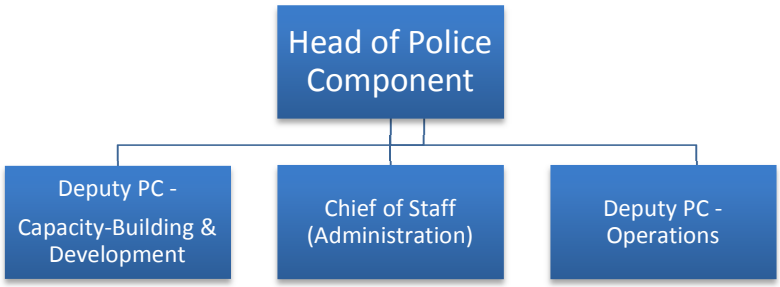
30. In accordance with the Policy on Authority, Command and Control in United Nations Peacekeeping Operations, the HOPC reports to the Head of Mission (HOM), normally the Special Representative of the Secretary-General (SRSG) or, depending on the context and mission structure, to the Deputy Special Representative of the Secretary-General for Rule of Law (DSRSG/RoL) or other designated senior mission official. The HOPC is an integral member of the Mission Leadership Team (MLT). She or he maintains a technical reporting and communication link with the United Nations Police Adviser at UNHQ. This technical reporting link shall not circumvent or substitute the command chain between the Under-Secretary-General of the Department of Peacekeeping Operations and the HOM.

31. The HOPC exercises his or her authority to direct, coordinate and control all personnel within the police component, including 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 can delegate authority to the appropriate subordinate levels but maintains overall responsibility. The HOPC or his or her designate also has tasking authority to deploy, re-deploy and employ all or part of an enabling unit to achieve the mission's mandate, as well as the authority to task individual personnel, units and sub-units within the mission area and delegate responsibilities to the appropriate subordinate level.

32. Clear command arrangements support greater cohesiveness among all mission elements, allowing for the efficient and effective implementation of mandates and strengthening a mission's ability to handle crisis situations. The HOPC, in consultation with the Police Division at UNHQ, shall establish the police chain of command in the mission. Any

amendment to the organizational structure, including the chain of command and control, must be done in consultation with the Police Division.[15]

33. A typical senior chain of command in a United Nations police component for a peacekeeping operation may include:



34. The HOPC shall establish a process to ensure the continuation of supervision at all levels of the chain of command in the event of a vacancy or his or her absence from duty. A command protocol may contain formal arrangements that determine how the command team will react quickly to changing circumstances and ensure the proportionate use of legal powers and how the deployment of specialist equipment will be managed. It may also set out 1) who is responsible for achieving each of the tasks allocated when contingency plans are activated; 2) who commands what resources and where; 3) when and how resources will be transferred between one commander and another; 4) who commands within a given geographical area; and 5) who is responsible for managing specific tasks.[16]

35. A Police Contingent Commander is appointed by his or her government. He or she acts as the contingent's representative and is not, solely within this responsibility, considered to be part of the United Nations chain of operational command, but remains a vital part of the police component's leadership structures and information flows. Moreover, all operational and administrative matters are under the sole authority of the HOPC, or his or her designate, and command and control arrangements from the United Nations shall have primacy in all circumstances.

36. The Police Contingent Commander, within the national contingent, has administrative control on non-operational matters related to personnel management, supply services and welfare issues of their respective contingent personnel and must not adversely influence the management and conduct of United Nations operations within a mission area. The Police Contingent Commander also has responsibility for the conduct and discipline of personnel of the national contingent. The HOPC should engage Police Contingent Commanders about planned changes to a mandate well in advance of the issuance of a new Police Concept of Operations (CONOPS) in order to ensure unity of understanding of mandate changes from the top down and to ensure that the views and recommendations of Police Contingent Commanders are communicated to UNHQ. The Police Contingent Commander shall provide the HOPC with an End of Assignment Report (EoAR) at the conclusion of their deployment.

37. The mission Police CONOPS, coordinated, approved and delivered by UNHQ, shall serve as the guiding document for the HOPC during the life of the mission. The Police CONOPS includes the United Nations Police Adviser's strategic intent, establishing the broad approach, tasks and responsibilities of the police component related to the mission mandate; programs for delivery and expected outcomes of police operations; and activities, processes and resource requirements from which to formulate the mission's plans, standard operating procedures and other guidance materials needed to implement mandated tasks.

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[15] See DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2008.4) for detailed guidance.
[16] *Ibid*.

38. The HOPC shall use the Police CONOPS, along with approved United Nations police policies and other guidance materials, as a basis for providing police inputs into the mission concept. The mission concept may evolve over time in line with program implementation and mandate changes, and the Police CONOPS should be revised accordingly. The Police CONOPS should form the basis for developing the Police Operation Plan (OPLAN) by the HOPC. The Police OPLAN is critical for planning and conducting police operations. It 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.[17]

39. United Nations police commanders shall ensure that their officers act in accordance with the principles of strict impartiality, integrity, independence and tact, and that they understand the mission mandate and the privileges, benefits or immunities the United Nations and its officials enjoy or which have been further negotiated and incorporated in the relevant Status of Forces Agreement (SOFA) or Status of Mission Agreement (SOMA). Police commanders shall enforce a zero-tolerance policy for violations of the United Nations standards of conduct, notably incidents of sexual exploitation and abuse, as well as breaches of national laws applicable in the host State, and shall exhibit a full commitment to creating an enabling environment for staff to report alleged incidents.

40. Police commanders must ensure that the personnel under their command use force in full compliance with the applicable United Nations policies and laws in effect within a given UN mission environment. The HOPC shall ensure familiarization with, training on and adherence to directives on search, detention and the use of force (DUF) developed by UNHQ for the police component at the commencement of the mission that clarify the different levels of force that can be used in various circumstances; how each level of force should be used; and any authorizations that must be obtained in advance by police commanders. In the volatile and potentially dangerous environments into which contemporary peacekeeping operations are often deployed, the DUF should be sufficiently robust to ensure that a United Nations peacekeeping operation retains its credibility and freedom of action to implement its mandate.[18] In all instances, members of the police component must duly respect the United Nations Basic Principles on the Use of Force and Firearms by Law Enforcement Officials.

41. The HOPC in peacekeeping operations shall submit to the Police Division at UNHQ detailed daily and weekly situation reports (SitReps) on the activities of the police component. Reports should be precise and should include information on internal matters including personnel, discipline, administration and logistics. Weekly reports should indicate the highlights, achievements, political developments and challenges within the reporting period and those expected for the upcoming week.[19] Reports should be forward-looking and analytical rather than narrative[20] and should focus primarily on outcomes rather than outputs. For example, instead of reporting on the number of stops, arrests, etc. (outputs), data such as the number of new market stalls or the number of children attending school may suggest greater economic and social vitality over a certain period of time as a result of better security conditions (outcomes).

42. Within the mission, the police component shall contribute intelligence-related material to the Joint Mission Analysis Centre (JMAC) for the preparation of integrated analysis and predictive assessments to support decision-making; mission strategic, operational and contingency planning; and crisis management. The HOPC shall appoint liaison officers and/or focal points, where applicable, to the JMAC for enhanced information flow and

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[17] Mission Start-Up Field Guide for Mission Managers of United Nations Peace Operations Version 2.0 (September 2010), Section 6.2.

[18] United Nations Peacekeeping Operations Principles and Guidelines (2008), p. 35.

[19] See Chapter 3 of the United Nations Police Handbook (October 2005) and Standard Operating Procedure on Integrated Reporting from DPKO-Led Field Missions to UNHQ (1 April 2012) for templates and guidance on the specific types of information to be included in daily and weekly reports.

[20] See the Secretary-General's Bulletin on Information Sensitivity, Classification and Handling, (Ref. ST/SGB/2007/6) for further guidance on the production and distribution of such reports.

collaboration. The HOPC should appoint liaison officers who have, at a minimum, expertise in intelligence or investigations whenever possible and who could contribute effectively to the day-to-day work of the JMAC. Such assignments shall be made without prejudice to the operational authority of the HOPC over such individuals in order to ensure the proper support to the police component and the mission. The HOPC shall work with the Chief JMAC to identify the types of products and information that the JMAC may produce and/or share for the benefit of their specific component.[21]

43. Threat assessments produced by the police component should, among other things, be based on information known at the time; take into account the nature of any threat anticipated and its proximity; identify to whom and under what circumstances the threat may occur; and describe any consequences or impacts.[22]

D.2.2 Approaches to command

44. Decision-making and authority always follow a hierarchical approach, with varying degrees of delegated authority for decision-making. In a United Nations context, the hybrid nature of most police components—which are made up of IPOs, both contracted and seconded, and FPUs—usually requires a very careful assessment of delegation of authority, taking into account capacity, capability, operational readiness and complexity of operational tasks.

45. For example, FPUs must have a well-defined hierarchy in order to be able to respond properly to, for example, public disorder situations. Every FPU officer should be aware of the origin, timing and intent of an order, thereby allowing the effective discharge of formed policing through tactical units. Chains of command are in place throughout the situation, leaving little room for decision-making and the freedom to act by officers on the ground.

46. While clear lines of command and accountability are optimal for some situations, IPOs may benefit from a decentralized approach that supports community-oriented policing. Because of the nature of their tasks, individual freedom of interaction requires them to spend most of their time on the beat, working in communities, and they are often co-located with their host-State colleagues. They have a great deal of discretion in how they approach their duties. In peacekeeping operations with executive mandates, IPOs frequently decide on their own whom to stop, to search and to arrest based on their training and experience, in compliance with United Nations rules and regulations, as well as relevant national legislation.

47. Both stringent and more delegative forms of command require that the expected outcome of action is clearly defined in a specified and appropriately detailed tasking. In the extreme, neither micromanaging formed police capacities nor a laissez-faire style for IPOs is acceptable. UNPOL command is to be held accountable for clear tasking and definition of the expected outcome at the tactical, operational and strategic levels. It is ultimately the HOPC's command responsibility to ensure that this is systematically implemented and supervised. This is not contradictive to the principle of accountability and delegation of authority to the lowest appropriate levels, but the defining difference between accountability and delegation into responsibility.

D.2.3 Coordination with military components

48. Military components are crucial partners for the police in peacekeeping operations when it comes to establishing and maintaining a safe and secure environment, including the protection of civilians. In its "role model" function for host-State police capacity-building, the United Nations police need a profile distinct from the military to help maintain the public trust necessary for effective policing. The ability to keep separate profiles while establishing interoperability and strong functional relationships between police and military peacekeepers is a difficult balance but is critical to the success of peacekeeping operations.[23] A civilian population is often confronted with a complex mix of threats of a military and non-military

[21] DPKO-DFS Policy on Joint Mission Analysis Centres (JMAC), Ref. 2015.03, 1 March 2015.
[22] UK National Policing Improvement Agency on behalf of the Association of Chief Police Officers, Guidance on Command and Control, 2009, p. 25.
[23] Handbook on UN Multidimensional Peacekeeping Operations, December 2003, pp. 92-93.

nature. Thus, military units provide protection against military threats, while the United Nations police, in strong collaboration with capable military units, provide the appropriate policing response to police-type security and order threats.

49. In case of mutually supportive operations to address situations of public order and safety with personnel of FPUs or other constituted body of police personnel and military components, with or without other security personnel of the mission, the following arrangements shall be in place:

    - *Situations of public disorder of a non-military nature.* This generally refers to situations where there is no sustained use of firearms or military weaponry. In such circumstances, the FPUs should have primacy in addressing such situations in support of or in cooperation with host-State police and other law enforcement agencies, as applicable. The HOPC or his or her delegate may request personnel of the military component and/ or other security personnel of the mission to perform specific tasks. In these situations, the United Nations police officer or FPU Commander designated by the HOPC will exercise tactical control. The assignment of military personnel must be coordinated with the Head of the Military Component (HOMC) or Sector or Battalion Commander, as applicable.
    - *Situations of public disorder of a military nature.* This generally refers to situations where there is sustained use of firearms or military weaponry. In such circumstances, units of the military component would have primacy in addressing such situations in support of or in cooperation with relevant host-State police and other law enforcement agencies, as applicable. The HOMC or Sector or Unit Commander may request FPU personnel to perform specific tasks. In these situations, the senior-most Military Commander in location will exercise tactical control. The assignment of FPU personnel must be coordinated with the HOPC or his or her delegate, as applicable.

50. Police and military components usually report through their own chains of command. As a general rule, the personnel, units and sub-units from one uniformed component shall not be placed under the direct technical supervision or tactical control of another component, in accordance with the DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2008.04).

51. In mutually supportive operations with the military component, a police tactical area of operation and surrounding military security support zone should be established to define the respective tactical area of responsibility. Police operations are conducted under the tactical control of the designated police commander located in the inner tactical 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 delegate at the site of the incident to be beyond police capacity. In the surrounding security zone, the military component 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 will be planned in advance. Any component entering the blue box or green box[24] shall be located under the tactical control of the respective police or military commander present on the spot. In such scenarios, a joint tactical command post should be established where representatives of the police and military follow and tactically coordinate the operation.

52. Under specific conditions and with the approval of the SRSG, police and military personnel may serve under a unified and centralized structure commanded by a senior United Nations police officer designated by the HOPC or a military officer designated by the HOMC. The task force commander will be responsible for leading the joint task force's daily operations and operational control in a given geographic area. This type of command structure may only be changed by the SRSG and would not apply to the operational control of police or military units outside of the given geographic area.

[24] The approach described is also known as the "Blue Box-Green Box" concept in which the "blue" and the "green" represent the police and the military, respectively.

53. With the possible exception of highly sensitive operations where it is suspected that intelligence may be leaked in advance, host-State police and military authorities should be involved in the daily planning and execution of the joint task force's operations. Tasks to be conducted by the respective police and military elements must be conducted in accordance with the Statement of Unit Requirements for each unit, i.e., police units shall lead operations whose objectives align with usual police roles, searches and investigations, for example, while the military play a support role in securing the perimeter and manning nearby checkpoints. The assigned police and military units shall act in accordance with the DUF for the police or Rules of Engagement (ROE) for the military. Under no circumstances shall United Nations police be placed under the tactical command or control of host-State military, police or other law enforcement agencies.

54. The police component shall also cooperate with the military component by drawing upon and providing support to key mission assets, such as the JMAC and JOC, and through joint training and exercises.

55. The HOM, through the HOMC and HOPC, is responsible for ensuring that necessary command and control arrangements and standard operating procedures are developed between military and police components at the start of a peacekeeping mission. Early contingency planning, training, rehearsals and exercises, including simulations, should be carried out on a regular basis to ensure that the HOM and senior uniformed UN commanders are sufficiently prepared. All mission management arrangements, plans and procedures associated with this must then be submitted to and approved by the HOM and be regularly reviewed and practiced throughout the life of the mission. Lessons learned in addressing such situations of public disorder, as well as through exercises, should be shared with DPKO at UNHQ for advice, evaluation and further dissemination.[25]

56. In addition to the overall framework for police-military cooperation, the exact division of responsibility should be defined for each joint action.

D.2.4 Coordination with civilian component

57. The successful implementation of the police mandate relies on strong coordination and the closest possible working relationship with the civilian component, and the HOPC should recognize and leverage their comparative advantages early on. Civil affairs can advise on the strategic and policy framework for operations and liaison with communities, helping to ensure cohesion and consistency across local-level mission actors. Civil affairs can also provide input both for induction processes and for the development of police projects or programs where requested, helping these components to understand the political and socio-economic context within which they are operating.[26]

58. The HOPC shall coordinate closely with the head of the mission's human rights component to ensure that all mandated tasks undertaken by the police component fully incorporate the promotion, protection and respect for human rights.[27] He or she should coordinate with the Senior Gender Affairs Adviser to ensure gender mainstreaming in all mandated tasks undertaken by the United Nations police. Police commanders shall also work with the mission's Public Information Unit in developing public information strategies and key messages to raise awareness and understanding about human rights issues related to the role of police in society.[28]

D.2.5 Coordination with host-State counterparts and other actors

59. **Engage host-State government early and often.** Peacekeeping mandates are designed to come to an end as soon as a secure environment allows. As such, the HOPC should engage with key host-State counterparts from the outset, particularly those who will be entrusted with

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[25] DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2008.4).
[26] DPKO-DFS Civil Affairs Handbook, March 2012, p.43.
[27] OHCHR-DPKO-DPA-DFS Policy on Human Rights in Peace Operations and Special Political Missions, 01 September 2011, Ref. 2011.20.
[28] United Nations Police Handbook, October 2005, p. 47.

security responsibilities[29], to explain issues as clearly as possible to avoid misunderstanding, jointly set priorities, and ensure that the host State is a partner in all aspects of assessing, planning, implementing and evaluating.[30] Police commanders shall ensure that activities and priorities are based on the expressed needs and wishes of the host State, not solely as prescribed by the United Nations. The amount of trust and respect between the police component and host-State counterparts will bear significantly on the scope and pace of progress. The HOPC shall establish coordination and/or cooperation frameworks with the host-State police and other law enforcement agencies, related ministries and other stakeholders through dedicated joint committees, designated focal points and interagency partnerships forums.

60. **Prepare for transitions.** Circumstances in which the security and stability of a state enables a United Nations mission to reconfigure or draw down its resources present opportunities to transfer primacy of command to the host-State police and military institutions. The establishment of clear command protocols and lines of accountability is critical during any period of transition. These protocols should provide clarity with regard to who is responsible for achieving each of the tasks allocated, including contingency plans where activated; who commands what resources; who commands each separate geographical area; and where, when and how resources will be transferred between one commander and another. This approach will require an assessment by the HOPC to balance the need for host-State institutions to increase the confidence of local communities with intervening if or when the risks or demands exceed their capacity.

61. **Coordinate with donors.** There is often a mismatch between the mandated tasks and available resources, making cooperation and coordination with donors essential. The HOPC, in close collaboration with other mission components and under the guidance of the mission leadership, should engage with donors to avoid duplication; to ensure the appropriate allocation of resources as per identified priorities; to better understand donor cycles of procurement, budgets and accountabilities; and to develop a comprehensive needs assessment, strategic plan and implementation timeline that reflect local priorities and resources.[31] Working closely with donors will also help to ensure the long-term sustainability of projects and programs. The HOPC should consider establishing a Donor Aid Coordination Team to track and monitor all planned, ongoing and implemented funded projects undertaken in support of host-State capacity development. The team shall provide mentoring and advice to host-State counterparts in developing mechanisms for assuring the sustainability of effort once a project is implemented. Technical support shall also include assisting in project design and specifications. United Nations police commanders should forge collaborative ties with other international and regional organizations, taking into consideration the added value, comparative access to resources and linkages to host-State actors.

62. **Coordinate with rule of law partners.** Police are an essential link in the criminal justice chain, and police, justice and corrections must work in tandem for meaningful progress to occur. The HOPC should engage the Global Focal Point (GFP) mechanism[32] at the outset to mobilize resources and deliver more effective police, justice and corrections-related assistance to the host-State police in the area of the rule of law. In sustaining peace, the GFP arrangement, which includes DPKO, the UN Development Programme, the Office of the High Commissioner for Human Rights, the UN Office on Drugs and Crime, UN Women and other UN actors, is a possible avenue for continued programmatic assistance to the host-

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[29] Sawang, Gautam, former UN Police Commissioner, UN Mission in Liberia, End-of-Assignment Report, March 2012.

[30] Final Narrative Report for the Swedish-Funded SGF Meeting, Pretoria, 21-23 October 2014, p. 4.

[31] *Ibid*.

[32] In a Policy Committee Decision of September 2012 recognizing the need to deliver complementary responsibilities under one umbrella and to integrate the political and development dimensions of these efforts, the United Nations Secretary-General Ban Ki-moon designated the Department of Peacekeeping Operations (DPKO) and the United Nations Development Programme (UNDP) to implement a business model focused on joint United Nations operational country support: the Global Focal Point for the Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations (GFP).

State authorities following the transition or drawdown of a peacekeeping operation. Activities should be coordinated through the office of the DSRSG/RoL.

63. **Work closely with civil society organizations.** Civil society organizations such as human rights NGOs, women's groups, youth groups, minority groups, bar associations, labor unions, religious congregations and groups for vulnerable populations are important partners for police commanders. Some of these groups may have experienced discrimination or other forms of oppression by the police in the past and may therefore continue to bear a strong sense of distrust towards them. In close cooperation with the mission's human rights, gender and civil affairs components, United Nations police commanders should work to promote and facilitate contact and trust-building with civil society organizations, seeking their assistance with information on alleged incidents of police abuse, raising awareness of and support for police reform activities, and encouraging the public to report crimes, including sexual and gender-based violence.

64. **Engage civil society in police development.** The HOPC, in close collaboration with the HOM, should encourage the host State to establish a Police Development Steering Board. This board should be headed by a senior official from the office of the Head of State or Government and involve a spectrum of relevant governmental officials (Ministries of the Interior, Finance and Justice) as well as the host-State police leadership, police unions (if applicable) and donor representatives. The HOPC should recommend to the host State to include civil society representatives on the board, e.g., human rights NGOs and women's or minority groups, to be selected by civil society organizations in a transparent and inclusive way. Special attention should be paid to gender balance in the composition of the board. The host State and United Nations police should invite bilateral and multilateral donors to take part in the work of the Board and seek their commitment to a unified assistance approach.

65. **Recognize importance of good relations with the media.** The mission, and particularly its security-related activities, will draw national and international media attention, and so it will be necessary to seek the support of the media to promote and implement the mandate. It is vital that the mission's work and activities be known and well-understood by the public, subject to the information policy laid down by the HOM. In accordance with HOM guidance and direction, the HOPC should encourage and facilitate the work of journalists seeking to report about the police component's activities. In consultation with the mission's Public Information Unit, the HOPC should be accessible to the media to the extent possible, without interfering with the discharge of his or her primary responsibilities and the mission's mandate.[33]

D.3 ROLES AND RESPONSIBILITIES OF UNITED NATIONS POLICE COMMANDERS

D.3.1 Strategic planning

66. The HOPC shall be responsible for developing a strategic plan for the police component that reflects short- and long-term organizational goals, objectives and priorities based on mandated tasks, community needs, etc., recognizing that aspects of the strategic plan will be guided by forces outside the HOPC's control, i.e., the mission mandate and the allocation of resources by the United Nations Security Council.

67. In assisting the host-State police in this endeavor, United Nations police commanders shall consider a bottom-up approach to help to identify community needs and approaches to meeting those needs, thereby helping to set the policing priorities that will shape the plan. In parallel, the HOPC's overall strategic plan will mirror the assistance of the United Nations police to the strategic planning and implementation by the host-State authorities. Treating communities as partners in their own safety from early on will help to build legitimacy, increase accountability and foster greater ownership and buy-in going forward. Setting the groundwork for the development of a strategic plan could take the form of a community survey or "town hall"-style discussions on the level of satisfaction with the police and

[33] Directive for Heads of Police Components of Peacekeeping Operations (Ref. DPKO/PD/2006/00122).

perceptions of safety. It will be critical to obtain the input of government leaders, representatives from civil society and vulnerable populations, and other stakeholders.

D.3.2 Human-resource management

68. United Nations police commanders will find it more difficult to manage human resources in a mission environment because of the multitude of policing cultures, training systems and approaches police officers bring, in addition to frequent staff rotations. Additionally, contemporary peacekeeping challenges require specialized skills and expertise that may not be available within the existing police component. National capacity gaps in the host State should inform the composition of police components and requests for police contributions from police-contributing countries (PCCs). For example, commanders shall consider piloting specialized teams to address areas such as serious and organized crime, sexual- and gender-based violence or crime analysis, as well as drawing on the expertise available in the SPC.

69. The commander shall solicit guidance from the Police Division at UNHQ on such recruitment issues and shall pay particular attention to the allocation of deployed personnel to such positions in strict accordance with their experience, expertise and qualifications. A transparent selection process is to be established in this regard. The extension of personnel should be based on applicants' performance indicators; skill sets; the operational need for specific expertise; their ability to work effectively and respectfully with national counterparts and the local population; their ability to act as a representative of the United Nations; their achievements during service; and their involvement in essential projects or programs that have an impact on mandate implementation. Police commanders shall also work to identify and nurture future leaders, particularly women officers, to assume command positions by, for example, establishing an in-mission mentoring program or training sessions to enhance specific skills.

70. Staff welfare is equally as important as "getting the job done". A healthy working, living and recreational environment is essential to the implementation of the mission's mandate, improved productivity, lower staff turnover, and good conduct and discipline. While the provision of adequate welfare and recreation facilities and activities for mission personnel falls under the overall responsibility and authority of the HOM, police command staff shall be cognizant of the fact that staff welfare is not a topic of leisure but a critical success factor for motivation, discipline, health and well-being.

D.3.3 Project management and oversight

71. Project management must aim to facilitate the implementation of the mission mandate by making the optimal, most efficient use of all available resources, as well as seeking additional resources from potential donors and other United Nations internal and external stakeholders. The HOPC shall consider putting in place a project management team to provide assistance with project design, implementation, monitoring and evaluation. The HOPC shall ensure proper planning, set clear objectives and deliverables, identify project team members with the necessary expertise, knowledge and skills, and oversee and provide guidance to the project team(s). The project team will work to determine and sequence primary activities, estimate the necessary resources and activity durations, and identify expected outputs and desired outcomes.

72. A comprehensive business case should be completed for each project, outlining both one-time and ongoing costs, benefits and outcomes. Potential projects should be based on the actual needs and priorities of the host State and managed jointly by the United Nations police component and host-State counterparts. Indicators shall be established to measure progress and ensure that deliverables are achieved, that risks are managed and that the project is completed on time and on budget.

D.3.4 Monitoring and evaluation

73. The HOPC shall devise strategies for integrating monitoring and evaluation of the implementation of projects into routine planning and decision-making processes, particularly in light of quickly evolving conditions on the ground. Indicators should be developed for

monitoring and evaluating the efficiency and effectiveness of service delivery methods, procedures, techniques and equipment utilized in the conduct of all activities assigned to United Nations police personnel and for making recommendations to eliminate inadequacies or improve operations, service and staffing levels.

74. The overall aim is to measure performance against objectives and mission mandates. Four main dimensions of assessment could include[34]:

- Performance: The United Nations police provide efficient and effective services that are accessible and responsive to the needs of the people.
- Integrity, transparency and accountability: The United Nations police operate transparently and with integrity, and are held accountable to rules and standards of conduct.
- Treatment of members of vulnerable groups: The United Nations police treat racial or ethnic minorities; women; lesbian, gay, bisexual and transgender people; children in need of protection; crime victims; internally displaced persons; asylum-seekers; refugees; returnees; stateless individuals; mentally ill individuals; and persons with disabilities in accordance with criminal justice norms and standards and international human rights and humanitarian laws.
- Capacity: The United Nations police have the human and material resources necessary to perform their functions and the administrative and management capacity to deploy these resources effectively.[35]

75. The HOPC shall consider establishing an Internal Evaluation Unit (IEU) to evaluate or undertake inspections of procedures, practices or programs of the police component. This may include proposing standard procedures or conducting analysis in order to develop best practices within the police component, in accordance with the DPKO-DFS Policy on Internal Evaluations and Inspections of United Nations Police (Ref. 2012.13).

D.3.5 Accountability and oversight

76. Accountability refers to a system of internal and external checks and balances aimed at ensuring that police perform the functions expected of them to the highest standard and are held responsible if they fail to do so. It aims to prevent the police from misusing their powers, to prevent political authorities from misusing their control over the police, and most importantly, to enhance public confidence and (re-)establish police legitimacy.[36]

77. United Nations police commanders, as in all professional police organizations, are accountable to multiple stakeholders. They are accountable to United Nations standards of conduct and local laws, to UNHQ and host-State authorities; to the officers under their command; and to the communities they serve. In post-conflict environments, levels of trust in the police and other law enforcement agencies may be low. Moreover, the population or some groups may have experienced discrimination or other forms of abuse at the hands of the police. A public and tangible demonstration of accountability mechanisms in action will help overcome distrust of the police among these groups and the population at large. A more accountable police service and higher quality police oversight can actually improve public safety by helping the police establish a reputation for fairness which enables it to protect all citizens.

D.3.6 Conduct and discipline

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[34] Taken from the United Nations Rule of Law Indicators Implementation Guide and Project Tools (2011).

[35] In conducting assessments, monitoring and evaluation, United Nations police may take advantage of UNODC's Criminal Justice Assessment Toolkit (2006) and OECD's DAC Handbook on Security System Reform (SSR): Supporting Security and Justice (2007).

[36] See UNODC Handbook on Police Accountability, Oversight and Integrity (July 2011) for useful guidance on this topic.

78. United Nations police commanders shall ensure that their officers adhere to the highest standards of behavior and conduct themselves in a professional and disciplined manner.[37] Police commanders must take immediate action if they become aware that officers under their command have been involved in any kind of breach of conduct and discipline, particularly with regards to the exploitation of vulnerable groups, particularly women and children, either through position or financial status, or have participated in criminal or illegal activities. Police commanders shall ensure that their officers' induction training includes the subject of sexual exploitation and abuse and the role of the mission's Conduct and Discipline Team, if one exists, or the Conduct and Discipline Focal Point.

79. The HOPC must ensure that all alleged acts of misconduct are dealt with in accordance with the Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers (Ref. DPKO/CPD/DDCPO/2003/001), the appropriate General Assembly resolutions,[38] the DPA/DPKO-DFS Policy on Accountability for Conduct and Discipline in Field Missions (Ref. 2015.10) and other relevant United Nations resolutions and related issuances, taking into consideration the authority and responsibilities of the OIOS. In addition, mission-specific standard operating procedures and/or directives pertaining to disciplinary matters may be developed and applied by the HOPC in the mission.

80. The HOPC shall implement a clear mechanism for dealing with complaints against United Nations police personnel in accordance with applicable procedures. This must include a well-defined process for reporting, investigating and following up actions and should be integrated into the mission's standard operating procedures. The SRSG may authorize the HOPC to undertake investigations, make inquiries and request information, reports and consultations. If the HOPC considers it necessary to repatriate police personnel on disciplinary grounds, he or she shall recommend such action to the SRSG for approval by UNHQ in accordance with applicable procedures. The Police Adviser at UNHQ should be duly informed and DFS will ensure appropriate follow-up on such matters with the concerned contributing government.

D.3.7 Protection of civilians

81. The host-State has the primary responsibility for protecting its own civilians, and the United Nations police may be called on to assist them with fulfilling this responsibility. However, in cases where the government is unable or unwilling to do so or where civilians are under protection within United Nations premises, the United Nations police have the authority to act independently to protect civilians under imminent threat of physical violence, irrespective of the source of the threat, including the use of force as a last resort.

82. The HOPC is responsible for the development of a mission-specific protection of civilians strategy for the police component. This document should include a vulnerability assessment and contingency plans. The strategy for the police should be developed in partnership with military and civilian components to ensure all relevant protection actors have a common and agreed approach to addressing the threats and vulnerabilities facing civilians in the mission area, including the mobilization of rapid-response capabilities and the development of early warning systems. The strategy should take into account gender perspectives. This should also include the development of specific joint operational guidelines, detailed communication and reporting lines, delineation of responsibilities and tasks, delegation of authority and transfer of authority between the police and military components. Police commanders must ensure that all personnel under their command have a common understanding regarding what actions can – and cannot – be taken to protect civilians under threat of physical violence, including with respect to protecting women and children from sexual violence.[39]

D.3.8 Human rights

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[37] Code of Conduct for Law Enforcement Officials, adopted by General Assembly resolution 34/169 (17 December 1979).

[38] In particular, see General Assembly resolutions 59/287, (13 April 2005) and 59/300, (30 June 2005).

[39] Adapted from the Directive for the Head of the Military Component in a Peacekeeping Operations (Ref. DPKO/OMA/MPS/2011/0221).

83. Respecting, protecting and promoting human rights is central to the work of the United Nations police. The HOPC shall ensure that all United Nations police officers under his or her command are aware of and comply with the OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions (Ref. 2011.20). In fulfilling their functions, all police personnel shall be trained to recognize a human rights violation and be prepared to intervene according to the mission's directives on the use of force and mandate, as well as their specific roles and responsibilities and the limits of their competence and capacity.

84. Police commanders shall ensure that adequate instructions and procedures are in place from the outset of a peace operation to guide United Nations police personnel actions when confronted with human rights violations while performing their functions, with the advice of the human rights component. The HOPC shall cooperate closely with the human rights component to anticipate, plan and prepare for possible crises (for example, during electoral periods), escalations of violence and upsurges of human rights violations. Specific human rights training shall be provided to United Nations police personnel prior to their deployment and while serving in mission.

D.3.9 Gender mainstreaming

85. Gender mainstreaming is a strategy for making women's, men's, girls' and boys' concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of any planned action, including policies and programs, in all areas and at all levels, so that women and men benefit equally and inequality is not perpetuated. The DPKO-DFS Policy on Gender Equality in UN Peacekeeping Operations (Ref. 2010.25) outlines four principles that underlie the work of the United Nations for gender equality, including inclusiveness, non-discrimination, gender balance and efficiency in peacekeeping activities. Police commanders shall work to mainstream these principles.

86. The HOPC shall be responsible for ensuring that mandatory in-mission training on gender mainstreaming is provided to the police personnel under his or her command, using standardized training curricula. An agreement with the mission's gender component and the police unit responsible for training shall be established as a measure of accountability to deliver such training and to ensure that training on protection from conflict-related sexual violence is organized in conjunction with the gender and human rights components. The HOPC shall nominate a Gender Adviser within the police component, preferably located within his or her office, to coordinate the implementation of gender mainstreaming and address sexual- and gender-based violence. He or she shall also nominate focal points and encourage the host-State police leadership to do the same to help coordinate such activities.

87. As part of his or her authority and responsibilities as a senior mission leader, the HOPC shall promote a conducive and respectful environment for both female and male police personnel, including through the provision of adequate medical facilities, services and supplies for men and women, and shall establish mechanisms to ensure protection from sexual harassment. Police commanders shall inform all United Nations police personnel and provide leadership for the implementation of relevant provisions of Security Council resolutions on women, peace and security in the work of police personnel in the field.

D.3.10 Environmental mainstreaming

88. The HOPC shall ensure that the police component conducts its activities as environmentally sound as possible. In accordance with the Environmental Policy for UN Field Missions (Ref. 2009.06), he or she, after consultation and in coordination with the Director of Mission Support or Chief of Mission Support, shall institute instructions and operating procedures and take other necessary measures to ensure that the police component complies with the mission's policy and environmental objectives, including the appointment of a focal point within the police component to liaise with the mission's Environmental Officer. Accordingly,

the United Nations police will be enjoined to adopt appropriate behavior and conduct on cultural, religious and historical sites of importance to the host-State population.[40]

D.3.11 Knowledge sharing

89. Recording successes and failures, sharing experience and knowledge with peers in other missions and at UNHQ and learning from them are fundamental to enhancing the effectiveness and efficiency of United Nations police peacekeeping. This is particularly critical given the frequent rotations of the police in United Nations missions. An effective method for passing on institutional memory is the handover note or, if an HOPC or his or her deputies, an EoAR. Approved templates and guidelines for handover notes and EoAR are available on the Peace Operations Intranet (POINT). Police commanders shall endeavor to create opportunities for staff at all levels to share knowledge and integrate lessons learned into their daily activities.[41]

90. The HOPC shall also develop mechanisms for the collection and institutionalization of best practices and lessons learned by the police component. The HOPC should encourage the participation of all personnel of the police component in knowledge management networks or activities and disseminate best practices materials to all personnel of the police component. The HOPC shall consider appointing a Police Policy and Best Practices Officer or Focal Point to promote knowledge sharing and organizational learning. For the sake of continuity, this individual should ideally be expected to serve in the mission for at least 18 months.

91. If the mission is an integrated one and has a Best Practices Unit, the Police Policy and Best Practices Officer or Focal Point should work in close coordination with the unit staff and ensure that the Internal Evaluation Section or Unit of the police component is linked to the Best Practices Unit. Where the mission is not an integrated one, the Police Policy and Best Practices Officer or Focal Point should be encouraged to engage with the DPKO-DFS Policy and Best Practices Service at UNHQ.

E. TERMS AND DEFINITIONS

Administrative control. The authority over subordinate or other organizations within national contingents for administrative matters such as personnel management, supply, services and other non-operational missions of the subordinate or other organizations. Administrative control is a national responsibility given to the National Contingent Commander (NCC) in peacekeeping operations.

Command. The authority vested in an HOPC for the direction, coordination and control of police personnel. Command has a legal status and denotes functional and knowledgeable exercise of police authority to attain police objectives or goals.

Formed Police Unit. A cohesive mobile police unit that provides support to United Nations operations and ensures the safety and security of United Nations personnel and missions, primarily through public order management.

Gender. The social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialization processes. They are context/time-specific and changeable. Gender determines what is expected, allowed and valued in a woman or a man in a given context. In most societies there are differences and inequalities between women and men in their assigned responsibilities, access to and control

[40] DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, 1 February 2014, Ref. 2014.01, p.8.
[41] See the DPKO-DFS Policy on Knowledge Sharing and Organizational Learning (Ref. 2015.13) for more information.

over resources and decision-making opportunities. Gender is part of the broader socio-cultural context. Other important criteria for socio-cultural analysis include class, race, poverty level, ethnic group and age. (Extract from United Nations Office of the Special Adviser on Gender Issues (OSAGI), August 2001.)

Gender mainstreaming. The process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality. (Agreed Conclusions of ECOSOC Coordination Segment on Gender Mainstreaming 1997.)

Individual Police Officer. Police or other law enforcement personnel assigned to serve with the United Nations on secondment by governments of Member States at the request of the United Nations Secretary-General.

Planned Operation. A situation in which there is considerable information or knowledge about an anticipated event or incident and the time to develop strategies, tactics and contingency plans to respond to it.

Public order management. Police actions aimed at facilitating the population's exercise of their fundamental rights without any disturbance or unjustified hindrance and preventing assemblies from threatening or actually harming public safety.

Public safety. Day-to-day security that allows full freedom of movement and the virtual absence of crime and disturbances.

Rising Tide Incident. Unplanned incident or event that develops out of a steady state into an emergency or major incident or operation over a period of time. These incidents may last for some time and, as the situation escalates, may require transition to a more experienced-level commander or the support of mission military units.

Rule of law. Principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforce and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency. (Secretary-General's report, S/2004/616).

Spontaneous Incident. An event that occurs with little to no warning and little time to plan a response.

Steady State. Everyday responsibilities and activities that constitute "business as usual". In mission settings, this may include, among others, providing advice on policing operations, crime investigations, strategic planning, organizational management, community engagement and outreach, human rights, gender mainstreaming, human resource and administration, project management, strengthening governance, accountability, monitoring and evaluation.

United Nations Operational Authority. The authority transferred by Member States to the United Nations to use the operational capabilities of their national Formed Police Units and/or police personnel to undertake mandated missions and tasks. Operational authority over such forces and personnel is vested in the United Nations Secretary-General, under the authority of the Security Council.

United Nations Operational Control. The authority granted to a police commander in a United Nations peacekeeping operation to direct forces assigned so that the commander may accomplish specific missions or tasks which are usually limited by function, time, or location (or a combination), to deploy units concerned and/or personnel, and to retain or assign tactical command or control of those units/personnel. Operational control includes the authority to assign separate tasks to sub-units of a contingent, as required by operational necessities, within the mission area of responsibility, in consultation with the Police Contingent Commander and as approved by UNHQ.

United Nations police. Includes both Headquarters staff in the United Nations Police Division (inclusive of the Standing Police Capacity) and mission staff in United Nations police components.

United Nations police component. All United Nations police officers in a given peacekeeping operation or special political mission, i.e., non-contracted Individual Police Officers and Formed Police Units.

United Nations Tactical Command. The authority delegated to a military or police commander in a United Nations peacekeeping operation to assign tasks to forces under their command for the accomplishment of the mission assigned by a higher authority.

United Nations Tactical Control. The detailed and local direction and control of movement or manuever necessary to accomplish missions or tasks assigned. As required by operational necessities, the HOPC may delegate the tactical control of assigned police personnel to the subordinate sector and/or unit commanders.

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Related Policies

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- DPKO-DFS Policy on Internal Evaluations and Inspections of United Nations Police, Ref. 2012.13, 01 October 2012
- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-Led Field Missions to UNHQ, Ref. 2012.01, 01 April 2012
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- DPKO-DFS Policy on Gender Equality in UN Peacekeeping Operations, Ref. 2010.25, 01 July 2010
- DPKO-DFS Operational Concept on the Protection of Civilians in United Nations Peacekeeping, 09 April 2010
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- DPKO-DFS Interim Standard Operating Procedures on Detention in United Nations Peace Operations, Ref. 2010.06, , 25 January 2010
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- Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission, ST/SGB/2002/9, 2002
- Model Undertaking and Declaration by Personnel with the Legal Status of Experts on Mission: United Nations Police, Corrections Officer/Military Observers/Liaison Officers/Advisers

G. MONITORING AND COMPLIANCE

The Police Adviser to the Department of Peacekeeping Operations and Director of the Police Division shall monitor compliance with this document.

H. CONTACT

Chief of the Strategic Policy and Development Section, Police Division, Office of Rule of Law and Security Institutions, Department of Peacekeeping Operations.

I. HISTORY

APPROVAL SIGNATURE:

DATE OF APPROVAL:

APPROVAL SIGNATURE:

DATE OF APPROVAL: