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Department of Field Support

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Guidelines

Police Administration in United Nations Peacekeeping Operations and Special Political Missions

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DPKO-DFS GUIDELINES ON

Police Administration in Peacekeeping Operations and Special Political Missions

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A. PURPOSE

1. These Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) Guidelines on Police Administration (hereafter referred to as "the Guidelines") spell out the fundamental areas that fall within the scope of responsibility of a police component's Administration Pillar. The Guidelines are designed to provide Heads of Police Components (HOPCs), Police Chiefs of Staff (Police COS), contingent commanders and other senior staff with a clear understanding of what police component administration entails, how it is organized, and how it fits within the everyday functioning of a United Nations field mission. The Guidelines will empower police personnel serving within an Administration Pillar to create and sustain an effective and efficient environment that enables the conduct of a police component's mandate-related activities.

2. With a view to harmonizing police practice across field missions, the Guidelines equally provide required direction on broader administration-related matters, including the general structure of

police components and responsibility for the development of several plans that police components are required to produce to guide their work.

B. SCOPE

3. The current Guidelines shall be read in conjunction with the overarching DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (Ref. 2014.01), the associated DPKO-DFS Guidelines on Police Capacity-Building and Development (Ref. 2015.08), DPKO-DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.14), DPKO-DFS Guidelines on Police Operations in UN Peacekeeping Operations and Special Political Missions (Ref. 2015.15) and the forthcoming Directive for Heads of Police Components of United Nations Peacekeeping Operations and Special Political Missions.[1]

4. These Guidelines shall provide the context for the future development of manuals, standard operating procedures, training materials and other guidance documents related to individual aspects of police-related administration.

C. RATIONALE

5. United Nations police deployed to serve within multidimensional integrated peacekeeping operations or special political missions work in unique operating environments governed by their own regulatory frameworks. To be able to properly fulfil their duties, officers assigned to serve in field missions must be conversant with the internal functioning of field missions, whether led by the Department of Peacekeeping Operations or Department of Political Affairs, and their individual components, as well as the policies, standard operating procedures and manuals governing their respective work. Above all, the Administration Pillar must understand the role of a police component in the wider context of a field mission, its structure and core activities, as well as the critical support role the Administration Pillar plays in facilitating the work of the entire component.

6. As recognized by the Policy on United Nations Police, solid, effective and efficient administration is a critical success factor in any police peacekeeping mission. It creates an enabling environment which allows the other police pillars in a mission to undertake their activities.[2] Accordingly, the Guidelines provide Individual Police Officers (IPOs) with an overview of the general structure of an Administration Pillar and the key work of its internal units, and signpost the relevant regulatory framework with which police personnel should be familiar, in particular, policies and standard operating procedures issued by DPKO and DFS, as well as their internal units that regulate the work of United Nations field missions.

[1] Respectively referred to hereafter as: the Policy on United Nations Police; the Police Capacity-Building and Development Guidelines; the Police Command Guidelines; the Police Operations Guidelines; and the forthcoming Directive for HOPCs.
[2] Policy on United Nations Police (2014.01), para. 51.

7. The Guidelines also provide HOPCs and command staff, including the Police COS, with direction on the structure, set-up and internal practice concerning the development of planning documents, with a view to harmonizing police practice across field missions.

D. GUIDELINES

D.1. Guiding principles

8. Integrity: All United Nations police personnel are expected to maintain the highest standards of integrity in the conduct of their work and off-duty while serving in a United Nations mission. Integrity entails that police personnel at all levels abide at all times with United Nations standards of conduct, in particular with regard to sexual exploitation and abuse. This includes acting without consideration of personal gain; acting with honesty and trustworthiness in the discharge of their official duties; resisting undue political pressure in their decision-making; refraining from abusing their power or authority; standing by decisions taken by the mission and/or police component, even if they are unpopular; and taking prompt action in cases of unprofessional or unethical behavior.

9. Transparency: Subject to security-related concerns, police personnel at all levels must ensure transparency in actions and decision-making processes. Transparency promotes accountability and provides information for all police personnel about the functions and work of the component. It entails openness in sharing information but with respect to principles of handling sensitive information and keeping concerned individuals and/or sections regularly informed of actions and processes. As United Nations police in the field act as role models for host-State police and rule of law institutions, transparent UN police administration should set the example for local institutions that transparency needs to be a core principle of police administration.

10. Accountability: All UN police personnel are obligated to take ownership for their respective responsibilities, both private and professional. This includes providing oversight and taking responsibility for delegated work, delivering timely work outputs and results, and operating in compliance with UN and mission-level regulations and rules. It also refers to accountability for individual misconduct, which can harm the entire mission and the local population's confidence in rule of law institutions.

D.2. Authority within a police component[3]

11. The HOPC, whether a Police Commissioner or Senior Police Adviser, is responsible for the implementation of police-related tasks of a mission mandate, including overseeing all operational and administrative tasks mandated to the police component. The HOPC is also responsible for the conduct and discipline of the personnel of the police component. The HOPC delegates his or her authority in relation to all matters of administration as set out herein to the Police COS and other chiefs under the Administration Pillar (where such an entity exists) although remaining fully responsible and accountable for actions undertaken under such delegated authority.[4]

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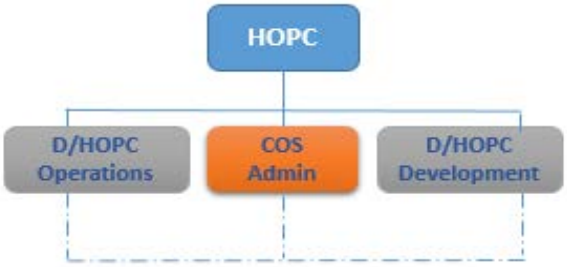
[3] See also DPKO-DFS Policy (Revised) for Formed Police Units in United Nations Peacekeeping Operations (2009.32) (hereafter "Policy (Revised) on FPUs"); and DPKO Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations (2007.7).

[4] See Directive for HOPCs (forthcoming), paras. 18 and 20; Police Command Guidelines (2015.14), para. 11; and DPKO-DFS Policy on Authority, Command and Control in UN Peacekeeping Operations (2008.4).

D.3. Police component structure and organization

12. As per the guidance of the HOPC and with the authorization of the Head of Mission (HOM), the Police COS, in consultation with the heads of other pillars and with regard to the police concept of operations (CONOPS), puts in place the appropriate structure for the police component.[5] A police component tasked with both operations and capacity-building and development functions is typically organized into three pillars: Operations, Administration and Capacity-Building and Development:[6]



13. In missions with a sizeable authorized strength, the pillars are typically complemented by the HOPC Front Office, comprising key support functions such as a Special Assistant, an Administrative Assistant, a Legal Officer, Liaison Officer(s), including Gender Focal Point, Public Information Officer(s), a reporting team and an Internal Evaluation Unit.[7]

14. The basic structure of a Police Component is established during the mission start-up phase. As per HOPC guidance, a Police COS may seek to amend the component's organizational structure, including the chain of command and control, taking into account the mission's specific operating context, in consultation with the United Nations Police Division (PD) at UNHQ, and after having consulted the Director of Mission Support/Chief of Mission Support (DMS/CMS) in matters of resourcing and following the authorization of the HOM.[8]

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[5] See Directive for HOPCs (forthcoming), para. 37.

[6] See also Police Command Guidelines (2015.14), para. 33 (diagram). Actual structures may vary depending on, for example, the size of the mission.

[7] The IEU follows up, monitors and evaluates the police component's functioning (i.e., the proper use and efficiency of resources) and activities, including progress in implementing plans. In particular, the IEU, upon a request by the HOPC or other senior command staff, may be tasked to evaluate the procedures, practices or programs put in place by a police component's pillars, as well as other issues. The purpose of the inspection is to determine the extent to which a procedure, practice or program adheres to normative standards, including United Nations policies and standard operating procedures. The IEU works with the component's Best Practices Officer and the mission's Best Practices Unit. For additional information, see DPKO-DFS Policy on Internal Evaluation and Inspections of United Nations Police (2012.13); Directive for HOPCs (forthcoming), paras. 45 ('Internal evaluations') and 74 ('Best Practices and Lessons Learned').

[8] Directive for HOPCs (forthcoming), para. 44.

D.4. Police Administration Pillar/Unit

D.4.1 Role of the Police COS[9]

15. Under the authority of the HOPC, the Police COS oversees the police component's Administration Pillar. The Police COS, through the units which report to him or her, is the principal adviser to the HOPC concerning all aspects related to the administration and management of all police component personnel, including but not limited to human resources management and development, conduct and discipline, finance, planning and budget, logistics, professional standards, staff health and welfare, security, as well as other aspects that may arise depending on a mission's specific context.[10] As the Police COS supports the HOPC in ensuring that the administration of the police component and its activities are managed and fully supported by a field mission, the Police COS must be familiar with all relevant UN regulations, rules, policies and procedures governing the foregoing.

16. The Police COS provides additional support to the HOPC, including but not limited to:

a) facilitating the establishment of a Women's Police Network in the mission area in coordination with the Police Gender Focal Point in the HOPC Front Office; and

b) representing the HOPC at mission- and HQ-level meetings, as well as on field visits, related to administration, mission support, logistics and welfare when required and authorized by the HOPC.

17. Operational framework: As the primary enabler to the component's mandate-oriented pillars, the Police COS must also have detailed knowledge of the operational framework underpinning a mission and which activities the component is authorized to undertake, including, in order of hierarchy:

a) the Security Council resolution authorizing the mission and mandated tasks;

b) the mission concept, which is a statement of intent that communicates a multi-year strategy on how the mission plans to implement its Security Council mandate; and

c) the police CONOPS, which translates the political intent of the mandate into policing and law enforcement strategies and operational directives.[11]

D.4.2 Standard operating procedure governing United Nations police assigned to a mission (SOP)

18. The policies and procedures governing personnel administration and management for all police, including Formed Police Units (FPUs), assigned to work in a field mission are set out in a "Standard Operating Procedure (SOP) Governing United Nations Police Assigned to [Mission acronym]" (hereafter "model SOP"), which provides police personnel with mandatory guidelines to assist in the performance of their duties. The SOP serves as the authoritative document governing police component administrative and personnel matters in missions.

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[9] The role of Police COS is wholly separate from the position of Chief of Staff (COS), who is a civilian responsible directly to the Head of Mission for ensuring the effective direction and management of all activities of the entire mission.

[10] Directive for HOPCs (forthcoming), para. 8.

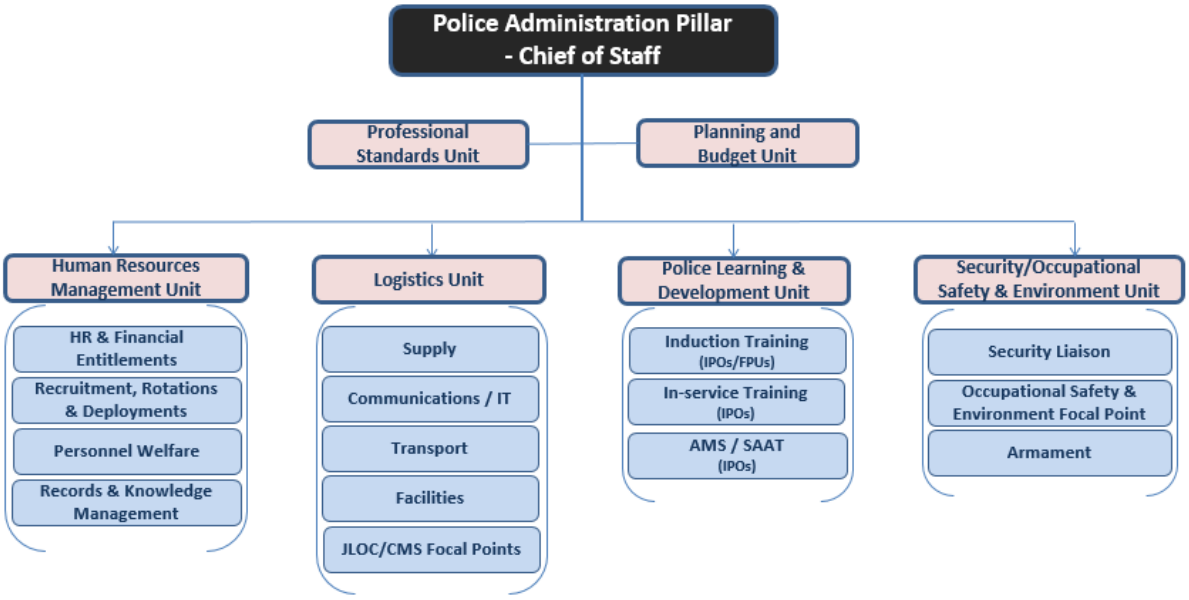
[11] Directive for HOPCs (forthcoming), para. 34.

19. The Police COS, in consultation with PD at UNHQ, is responsible for preparing the mission-specific SOP, which is largely uniform across missions, except where it reflects a mission's specific mandate, i.e., through optional sections with model language, such as regarding the storage and carriage of weapons for missions where IPOs are authorized to carry weapons. Obligations as well as internal procedures set out in the document apply to police components in all missions and shall not be modifiable. As a matter of good practice, a mission SOP is signed into effect by the Police Adviser at UNHQ before or as close to the start of a mission's opening as possible.

20. The Police COS, on the direction of the HOPC, is also responsible for preparing additional guidance (i.e., directives, bulletins, rules, instructions or operating procedures) to ensure that the police component complies with other United Nations and mission-specific policies and objectives.

D.4.3 Internal pillar structure and staffing

21. As indicated below, an Administration Pillar typically comprises six units: Planning and Budget; Human Resources Management; Security and Occupational Safety; Learning and Development (L&D); Professional Standards; and Logistics, the key duties of which include:



22. The Police COS is responsible for ensuring that the staffing structure is commensurate with the delivery of support activities and must regularly review staffing needs. The staffing and size of an Administration Pillar will vary according to the mandated strength of the police presence in the mission. In field missions with larger police presences, the foregoing units may each consist of one or several officers, each headed by a Chief and reporting directly to the Police COS. In field missions with a smaller police presence, the functions of the units may be undertaken by only one or several IPOs on behalf of the police component. Further, some functions, for instance, relating to conduct and discipline or training, may be undertaken by an IPO acting principally as a focal point vis-à-vis his or her mission counterpart.

23. In allocating IPOs to carry out administrative functions, the Police COS must ensure the most efficient use of personnel, including the use of civilian staff in functions not requiring police

competence. With a view to ensuring that the maximum number of IPOs is assigned to carrying out mandated rather than administrative support tasks, the staffing of police component headquarters should ideally not exceed 10 percent of the overall authorized strength of IPOs, although the number will likely be much lower.

D.5. Police Planning Unit

24. With the delegated authority of an HOPC, the Police COS is supported by a Police Planning Unit. The Police Planning Unit must understand the hierarchy of plans in a field mission and the key linkages between field mission plans and the plans of other United Nations and non-UN actors, as further detailed in the DPKO-DFS Guidelines on Component-level Planning on Rule of Law and Security Institutions Issues (Ref. 2012.03) and associated Planning Toolkit.

25. The Police Planning Unit, is responsible for developing the component's planning and ensuring that the component's plans integrate with the comprehensive mission implementation plan in close consultation with the chiefs of all pillars and, where FPUs are concerned, the FPU Coordinator.[12] In developing mission plans, the Police Planning Unit shall also consult the Police Division Mission Management Support Section (PD/MMSS), Selection and Recruitment Section (PD/SRS) and Strategic Policy and Development Section (PD/SPDS).

26. To harmonize and facilitate the work of the Police Planning Unit and pillar chiefs in the field, models of key plans that relate to the work of an Administration Pillar will be developed and disseminated by PD. The plans should be updated periodically depending on operational realities, program implementation, host-State needs and changes in the mission mandate.

a) Deployment plan

27. A deployment plan outlines a comprehensive and phased deployment schedule for all police personnel in order to progressively build up a United Nations police presence at a component's headquarters and in the regions in support of national authorities. A deployment plan should also support the mission objective of developing and strengthening the operational capacity of national rule of law institutions by providing for the co-location of IPOs as police advisers in national security institutions throughout the host State.

28. A deployment plan thus details the functions, number and proposed locations for the deployment of IPOs and FPUs in line with the mission's priorities and the available police personnel. The deployment of IPOs will also depend on the minimum ratio of United Nations-to-host-State officers, officers' particular skills and capabilities (in accordance with the mandate) and gender considerations. As the deployment plan must also take into account operational realities in the regions, such as the absorption capacity of particular field offices, existing infrastructure and safety and security issues, its development must be appropriately coordinated with the DMS/CMS and the United Nations military component.

b) Contribution to mission results-based budgeting framework (RBB)

29. The mission RBB serves a dual purpose: it is a financial document outlining the mission's prospective budget proposal, as well as a strategic planning tool that focuses on concrete objectives,

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[12] Formally the "Deputy-Chief of Operations for Formed Police Units", this role is referred to throughout this document as "FPU Coordinator".

expected accomplishments and indicators of achievement, which provide a means for assessing the progress of components in achieving proposed outputs and advancing mandate goals. With delegated authority from the HOPC,[13] the Police COS personally acts as the focal point vis-à-vis a mission's DMS/CMS and Office of Chief of Staff, and serves as the component's conduit for RBB and budget-related discussions vis-à-vis the wider mission. Internally, the Police COS delegates the preparation of the component's RBB to the Police Planning Officer, who will work in consultation with the Operations and Capacity-Building Pillars, to detail the component's intended activities for the coming year, such as the estimated number of patrols, trainings and workshops. Proposals should be based on both priorities and what is achievable, as well as an analysis of gender perspectives, keeping in mind current resources, the anticipated effectiveness of programs, travel, training, staffing and information technology requirements, and the particular circumstances of the mission.

30. In developing plans, the Planning Unit must ensure that the police component's funding needs are conveyed to the mission's Budget Section so that funding is appropriately allocated for the component's internal purposes, for example, trainings for police personnel, requests for civilian experts with specialized police skillsets or staff from the Standing Police Capacity, and deployments of officers to participate in in-mission assessments of IPOs and FPUs.[14]

c) Transition and/or liquidation planning

31. Well before a mission may be required to either transition to another configuration or draw down, the Planning Unit, under the guidance of PD and in collaboration with all pillar heads, must develop a transition plan for the police component. All component-level planning must be informed by the integrated transition plans or other UN-wide or mission-wide plans and strategic decisions on the overall UN engagement. A component transition plan should ensure that the handover to host-State counterparts of all police component tasks, both operational and capacity-building, should occur over time, with the component gradually reducing its activities while continuously monitoring progress towards the completion of tasks and the consolidation of the capacity of host-State and international partners to take over residual responsibilities. Transition plans must be appropriately coordinated with the DMS/CMS with regard to logistics issues.[15]

d) Re-hatting planning

32. In recent years regional or multinational forces under the lead of a regional organization already in a mission area have transitioned to a UN-led force through a re-hatting process authorized by the Security Council. PD will define specific re-hatting parameters and procedures, and the process may encompass re-hatting of IPOs and/or FPUs. The Police Planning Unit is responsible for coordinating with all Administration Pillar units to ensure that each unit has adequately anticipated and included the re-hatting of IPOs and/or FPUs in their work processes, including in-mission assessment, induction training and/or logistics and operational needs.

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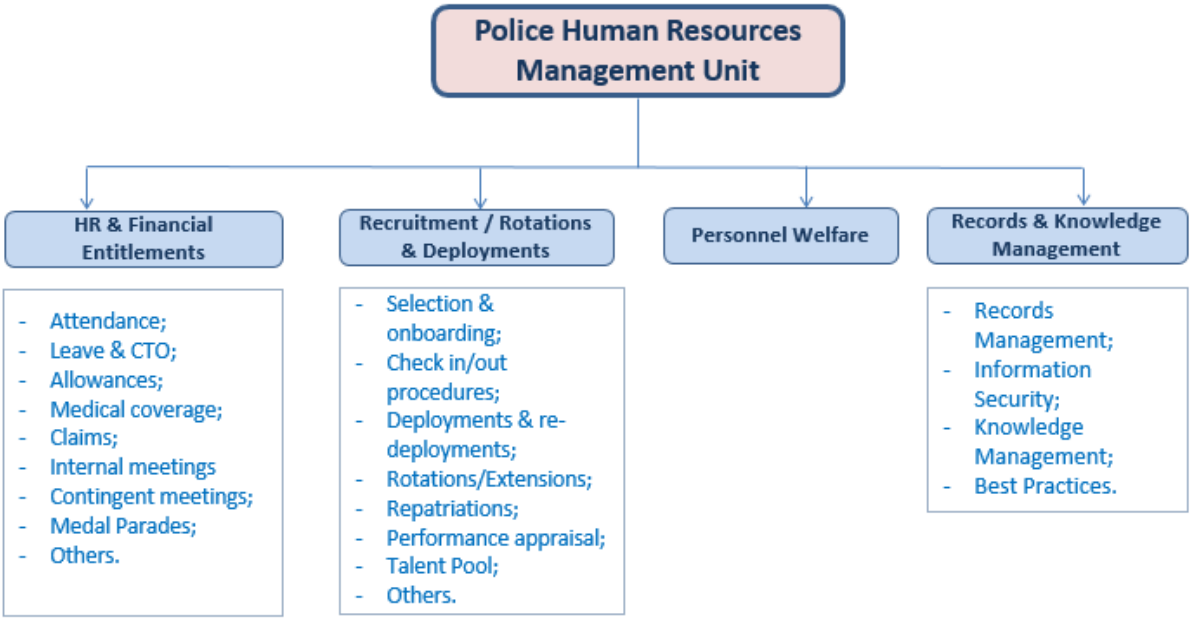
[13] Directive for HOPCs (forthcoming), para. 23.

[14] See also Mission Start-Up Field Guide (2010), pp. 38-39 (Results-based Budgeting process); Operational Guide to the Integrated Disarmament, Demobilization and Reintegration Standards, chapter 3.41 – Finance and Budgeting (for an overview of the peacekeeping budgeting process, including RBB); and United Nations Guide to Results-Based Budgeting.

[15] See also Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal (4 Feb 2013) and DFS Liquidation Manual (2012.18).

D.6. Police Human Resources Management Unit

33. The Police Human Resources Management Unit (PHRMU) is typically structured as follows:



34. Under the delegated authority of the Police COS, the head of PHRMU handles personnel-related administration in accordance with internal practice and established web-based platforms,[16] including:

a) **substantive personnel management**, which includes staff selection, identification of required IPO skillsets, in-mission assignments, deployments and rotations, performance appraisals, development of a mission talent pool, and welfare matters;

b) **administrative personnel matters** relating, for example, to attendance, leave, allowances and other claims.

35. PHRMU may also take on a number of ancillary tasks, including, but not limited to periodically circulating within the component information related to human resources issues that affect officers' rights or obligations, for example, in relation to United Nations standards of conduct, duties and obligations, benefits and entitlements, and in particular any changes thereto.

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[16] The principal platforms include: (a) Umoja, which encompasses administrative processes related to human resources administration, payroll, time management, benefits and entitlements for UN personnel; (b) Field Support Suite (FSS), which manages administrative tasks for IPOs and FPU members related to compensatory time off, movement of personnel, attendance, etc.; and (c) HERMES/UNPOL Management Suite, an FSS application that allows PD and authorized police component personnel in field missions to track the selection, recruitment, onboarding, tours of duty and departure of police personnel, as well as performance appraisals, Assessment for Mission Service (AMS) results, conduct and discipline issues, medical clearances, and PD communications with Member States with regards to the same. HERMES has an interface with the Misconduct Tracking System (MTS) for conduct and discipline issues.

D.6.1 Personnel-related management

a) Selection and on-boarding

36. The PHRMU coordinates with PD/SRS in relation to all substantive aspects of selection and on-boarding of police officers and in particular on identifying key skillsets and desired professional profiles—with due regard to gender-sensitive recruitment criteria—to staff a police component given the mission mandate and needs. In this regard, PHRMU consults with PD/SRS on finalizing job descriptions and vacancy announcements for circulation to Member States.

37. The subsequent recruitment of police officers, including those against contracted posts, is governed by the procedures outlined in the 2011 SOP on Selection and Recruitment Procedures for United Nations Personnel at the Police Division, Peacekeeping Operations and Special Political Missions.[17] International civilian posts in the Political, Peace and Humanitarian Network (POLNET) are filled through the United Nations recruitment process governed by the Administrative Instruction on staff selection and managed mobility (ST/AI/2016/1). The staff selection system governed by administrative instruction ST/AI/2010/3 and subsequent amendments entitled "Staff selection" will continue to apply to vacant positions in those job networks that have not yet transitioned to the new system under ST/AI/2016/1.

38. When the accomplishment of particular mandated police tasks necessitates specific expertise, PHRMU should seek the support of PD to identify and deploy Specialized Police Team(s) comprising one or more individuals, whether IPOs (discussed above) or civilian police experts. To the extent that civilian capabilities needed to fulfil police tasks cannot be satisfied through the United Nations recruitment process, a police-contributing country (PCC) may be approached with specific requests for civilian capabilities that are included in and/or unique to police organizations.

39. Police components may also take advantage of the skillsets and expertise of the Standing Police Capacity, which may deploy its personnel to support police components in the field for short-term deployments of several weeks to several months to offer technical assistance in a range of areas. The Police COS should facilitate requests for SPC assistance, which must first be approved by the HOM and thereafter formally communicated to PD. Requests for SPC assistance may be funded from the mission rotation budget.

40. Matters related to the selection, deployment or assessment of FPUs are the responsibility of the FPU Coordinator in collaboration with the FPU Coordination Unit of PD.

41. As far as possible, PHRMU supports and consults with PD in relation to the on-boarding of selected personnel and their arrival in the mission area, including concerns about visas, travel and the arrival of IPOs in mission areas, including their arms, when required.

b) Check-in

42. The PHRMU is responsible for establishing efficient internal check-in procedures for all police personnel and assigning designated officers (i.e., rotation officers) to receive incoming personnel and support their prompt check-in and induction, in support of the overall check-in process carried out by the mission's administrative office/division. Streamlined check-in procedures ensure that new arrivals

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[17] Selected IPOs must have passed the mandatory AMS, as per SOP on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (2011.18).

promptly receive identification cards and mission check-in forms, the timely completion of which enables officers to be issued with mission equipment and a driver's license and to be entered into the payroll system. These procedures can be conducted in-mission or at a regional support center, when required. In addition, the Police COS must ensure that all incoming staff receive a proper briefing at the outset of their deployment.

c) Internal selection for posts: deployments and redeployments

43. *IPO deployments:* The Police COS, through the PHRMU, shall assign all newly arrived IPOs to appropriate positions within the component, including the Joint Logistics Operations Center (JLOC), Joint Operations Center (JOC), Joint Mission Analysis Center (JMAC), Integrated Mission Training Centre (IMTC) or Contingent Owned Equipment (COE) Unit,[18] upon completion of induction training and all administrative procedures. Initial assignment of IPOs is undertaken by a selection/deployment panel comprising representatives from all pillars, based on a desk review of officers' professional profiles, followed by interviews of selected candidates and as ultimately approved by the HOPC. Panels should be constituted every time new IPOs arrive in the mission area. Attention should be paid to ensuring national and gender balance in the composition of such panels. Personnel participating in the panel should be certified.

44. When IPOs finish their tours of duty (ToDs) or are redeployed to another post, the PHRMU should establish fair and transparent procedures for advertising and filling the vacant posts. This includes, *inter alia*: widely advertising vacant posts through mission platforms such as intranet, e-mail and circular, as well as the Women's Police Network, and through the chain of command of senior police staff to ensure personnel are aware of vacancies; and establishing selection/deployment panels to screen applications and administer tests or interviews of candidates applying for supervisory positions. Senior staff in the police component should ensure all personnel are aware of such vacancies and are encouraged to apply. In particular, female police officers should be encouraged to apply for command positions and operational posts, and additional training may be provided if necessary to ensure a gender balance in such posts. The Police COS will discuss with an applicant's contingent commander in cases where redeployment of an IPO may disturb the national balance in that area. Where the advertisement of a post does not yield suitable applicants, the Police COS may assign officers directly to fill the vacant position.

45. Both the initial assignment and subsequent selection of IPOs for vacant posts will be done with regard to their background and experience in accordance with mission requirements and job descriptions, as well as special skills, national diversity and gender balance.

46. The Police COS and Chief PHRMU should progressively assign and deploy incoming IPOs to offices at mission headquarters and throughout the mission area based on the deployment plan. In planning deployments to regions/sectors/team sites, consideration will be given to ensure that at least two officers of the same nationality or of the same sex are deployed together. Contingent commanders should be consulted in this matter. Additionally, due regard should be given to ensuring that female officers are deployed on the basis of their skillsets, particularly in operational roles. IPOs, especially in unarmed missions, should only be deployed to regional areas when a mission field office has already been established and key infrastructure such as appropriate accommodation is available. This presupposes that a minimum level of area security has been established and that the Chief Security Adviser has determined that the field office satisfies Minimum Operating Security Standards

[18] IPOs assigned to the COE Unit report directly to the FPU Coordinator.

(MOSS) and Residential Security Measures (RSM) requirements. Communications, transport, water, equipment and office supplies should also be readily available.

47. *IPO redeployments:* The Police COS and Chief PHRMU are responsible for considering individual requests for the redeployment of an IPO. Generally, an IPO is not eligible to request redeployment within the first 90 days of his or her initial deployment into the mission following the completion of induction training. Redeployment requests are to be treated in accordance with procedures outlined above governing the advertisement and selection for internal posts.

48. As necessary, the Police COS and Chief PHRMU will also identify and nominate suitable police personnel to represent the component in mission-wide task forces or working groups, such as response teams tasked with the collection and preservation of evidence in cases of allegations of sexual exploitation and abuse.

49. *FPU deployments:* Matters related to FPU deployments or relocation within the mission area are the responsibility of the HOPC or his/her delegates, the Chief of Operations and/or the FPU Coordinator, who are vested with command over FPUs. The Police COS and PHRMU will provide administrative and technical support to the FPU Coordinator as necessary.

d) Rotations, tour of duty, extensions

50. *Rotations:* To avoid gaps in staffing upon the completion of officers' ToDs, PD maintains and monitors an extension/rotation plan concerning all IPOs and FPUs through FSS. PD reaches out to concerned Member States well in advance to ensure that they can identify and nominate suitable replacements for officers completing their assignments. PHRMU keeps PD abreast of IPOs completing their assignments through a dedicated Rotation Officer.

51. *Seconded police personnel sitting on contracted posts at the D- or P-level*: Under normal circumstances, seconded active-duty police officers are recruited for a period of two years. An extension for a third year is possible based on satisfactory performance and operational circumstances, while extension for a fourth year is allowed only on the basis of exceptional operational circumstances. Under no circumstances will a seconded officer be extended beyond four years of service.

52. The respective Guidelines for IPOs, FPUs and civilian experts detail the average and maximum ToD for the corresponding categories of police personnel, as well as procedures for requesting extensions.

53. *IPOs:* The ToD for IPOs in the mission area is one year. Any extension request must be initiated by the respective supervisor through the chain of command to the HOPC at least four months prior to completion of an IPO's ToD. It is the obligation of the PCC to respond to a request for extension within an acceptable timeframe of no more than one month prior to the end of mission of the concerned IPO. The PHRMU may communicate an extension request to PD for the Member State's endorsement only with the HOPC's approval. Factors relevant to considering extension requests include the exigencies of continued service and overall performance evaluation. A ToD may be extended for up to an additional year depending on operational needs and provided that certain criteria are satisfied, including disciplinary and medical clearance, a performance appraisal with a minimum rating of "fully satisfactory",[19] and the agreement of the PCC. Exceptional extension requests for

[19] Officers with "unsatisfactory" performance ratings shall not have their ToD extended.

service beyond two years should be reviewed carefully and approved by the Police Adviser at UNHQ.[20]

54. *FPUs:* Matters related to FPU ToDs, extensions and rotations are the responsibility of the HOPC or his/her delegates, the Chief of Operations and/or FPU Coordinator,[21] in collaboration with PD's FPU Coordination Unit. The Police COS and PHRMU will provide the FPU Coordinator with administrative and technical support in this regard.

55. *Specialized police teams (SPT):* The initial period of SPT assignments, whether as IPOs or civilian experts, shall be determined in the respective terms of reference, with possible extensions upon an HOPC's request based on operational needs at least three months prior to the completion of assignment, amounting to total service of 24 consecutive months. Extensions beyond 24 months may be requested in exceptional circumstances that require the continued presence of the respective civilian expert(s), e.g. natural disasters or developments requiring continuity in the advisory capacity.[22]

56. *Civilians:* Contract extensions for civilians within a police component are governed by United Nations regulations and rules, including with respect to mobility.[23]

e) Repatriation

57. The Police COS shall advise the HOPC and liaise with PD on the repatriation of officers before the expiration of their normal ToD, in consultation with the Chief of Operations and/or the FPU Coordinator where the repatriation of FPUs or their members is concerned. Field missions register information relating to the repatriation of officers through FSS. As per the respective Guidelines for IPOs, FPUs and civilian experts, officers may be repatriated in the following circumstances:[24]

a) Failure to meet the minimum mission requirements pursuant to the in-mission Assessment for Mission Service (AMS) or the driving test unless otherwise decided by HOPC;

b) Disciplinary grounds;

c) Compassionate grounds, as requested by the individual officer, e.g., in the case of critical or dangerous illness or injury to a close family member, or to attend their funeral;

d) Medical grounds;

e) Death or injury in service;

f) Upon an officer's formal request citing personal reasons; and

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[20] Guidelines for UNPOL on Assignment with Peacekeeping Operations (2007.7), paras. 74-77; Standard Operating Procedure on Selection and Recruitment Procedures for United Nations Personnel at the Police Division, Peacekeeping Operations and Special Political Missions (2011) (hereafter "SOP on Selection and Recruitment"), paras. 60-62 and 70.
[21] Policy (Revised) on Formed Police Units (2009.32), paras. 46-47 and 51-52.
[22] Guidelines for Non-Uniformed Civilian GPP (2015.01), paras. 8 and 24-27.
[23] SOP on Selection and Recruitment (2011), para. 65.
[24] Guidelines for UNPOL on Assignment with Peacekeeping Operations (2007.7), paras. 112-123; Policy (Revised) on Formed Police Units (2009.32), paras. 78-80.1; SOP on Selection and Recruitment, para. 71; Guidelines for Non-Uniformed Civilian GPPs (2015.01), paras. 61-66.

g) Upon a Member State's request raised through the contingent commander or PD.

f) Performance management, appraisals and talent pool[25]

58. The appraisal process is a continuous obligation that runs for the duration of an officer's ToD. The performance of all United Nations personnel is assessed through ongoing feedback with supervisors and periodically formalized through a written appraisal that should be fair and transparent and based on the delivery of required tasks.

59. At the beginning of every officer's first deployment within a component, the Police COS ensures that supervisors provide their subordinates with briefing packages containing job descriptions, operating procedures and other relevant documents, on the basis of which police personnel must develop their work plans in consultation with their immediate supervisors, as well as brief them within a week of arrival. Senior police personnel should assess the performance of their subordinates against the UN's core values, core competencies and, where applicable, managerial and job-specific competencies. Where IPOs are redeployed to a new post within a six-month performance review period, his or her first supervisor is responsible for completing the mid-review appraisal.

60. The Police COS is responsible for ensuring that, in addition to giving subordinates ongoing informal feedback throughout their ToD, police supervisors complete this mid-term appraisal. Before completing the appraisal, supervisors should provide their subordinates with feedback on their performance during the preceding six months and in particular on any weaknesses that require further improvement. In cases of underperformance, supervisors and their subordinates must develop an improvement plan with agreed goals against which an officer will be assessed at the end of his or her ToD. Supervisors shall share all signed improvement plans with PHRMU and the Police COS for record-keeping.

61. Supervisors should compete the appraisal process for their subordinates prior to completion of the latter's ToD, at which time supervisors rate the overall performance of their subordinates throughout their ToD. In the final appraisal, superiors should avoid overusing the overall rating of "exceeds expectations". Such ratings should only be awarded to officers who have consistently performed above what would normally be expected of them in the routine performance of their duties.[26] A superior who wishes to award an "exceeds expectations" rating to an officer must provide clear and concrete examples of an officer's achievements or contributions to furthering the mission mandate. Equally, superiors assigning their subordinates with overall ratings of "partly satisfactory" or "unsatisfactory" must support their rating with examples. Police personnel who receive ratings of "partly satisfactory" or "unsatisfactory" may seek to rebut the rating through an internal review process.

62. Police supervisors shall assess their subordinates' performance against that of police personnel performing similar job assignments ("functional categories"), as follows: "Senior command staff and managers" who supervise a minimum of five people; "generalist officers" comprising those doing routine police work such as patrolling, staffing the police operations center, etc.; and "specialized officers", such as investigators, analysts, trainers, etc. The HOPC, Police COS and all

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[25] Performance appraisals for UNPOL officers holding contracted United Nations posts are governed by Administrative Instruction ST/AI/2010/5 on Performance Management and Development System, as distinct from the process outlined in this section.

[26] SOP on Performance Appraisals of United Nations Police Officers (2006.29), para. 5.4.

command staff are responsible for ensuring that appraisal ratings are accurate and properly documented.

63. On a monthly basis, a panel chaired by the HOPC or his/her delegate, the Police COS and one other member of the same level as the first-line supervisor, shall be organized and facilitated by the Chief PHRMU. The panel shall convene to review and consider whether those appraisals that rate officers as "exceeds expectations" are warranted. The panel will also consider rebuttals.[27]

64. The PHRMU must upload all completed appraisals to an officer's electronic personnel file maintained on FSS for future consultation. HOPCs may recommend officers who are within the top 5 percent of their respective functional categories to PD for consideration for inclusion in the Police Division Talent Pool (once established), with the officers' consent and with particular attention paid to female officers. Member States shall be informed by PD of the inclusion of their national police personnel in the Talent Pool. The Police Division will draw upon the Talent Pool to identify strong performers in key profiles to be considered for future deployments. Officers who fail to meet performance expectations will not be selected again for mission assignment.[28]

65. The Police COS and PHRMU must ensure that senior staff who bear the critical responsibility of managing the performances of their subordinates, including FPU command staff, understand principles of work planning, ongoing feedback, reviews and appraisals,[29] and may arrange for specific training in this regard. The PHRMU should periodically remind police commanders of the ongoing nature of the performance appraisal process, in particular the need to proactively manage underperformance. The PHRMU should also remind police commanders of how appraisals should be completed and that the ratings they assign their subordinate officers should accurately reflect an officer's performance for the appraisal period.

66. Police commanders are responsible for the conduct and discipline of personnel under their supervision, which includes the prevention of misconduct and reporting of any allegations of misconduct.

g) Personnel welfare

67. The Police COS or his or her designate will act as a Police Welfare Focal Point to represent the police component vis-à-vis the mission Welfare and Recreation Committee (WReCs), if one exists, whether within mission HQ or regional offices.[30] With the HOPC's approval, the Police COS shall nominate an officer to act as focal point vis-à-vis the mission HIV/AIDS Adviser and Conduct and Discipline Team (CDT) or Focal Point and Gender Adviser.[31]

68. Meeting minimum welfare needs is critical to ensure the well-being of mission personnel. Accordingly, the Police COS, with the support of the focal point, will seek to ensure full respect for the provisions of mission-specific welfare policies, in particular relating to recreation, communications and the use of United Nations flights, when available, for travel on leave or for recreational and other

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[27] See also SOP on Performance Appraisals of United Nations Police Officers, for IPOs not holding contracted posts and senior FPU officers (as per the respective Guidelines for IPOs and FPUs).
[28] For example, see SOP on Assessment of Operational Capability of FPUs for Service in Peacekeeping Operations (2012.11) para. 17; and Guidelines on for Non-Uniformed Civilian GPP (2015.01), paras. 16 and 35.
[29] Guidelines on Police Command (2015.14), para. 27.
[30] Policy Directive on Welfare and Recreation (2007.06) and SOP on Welfare and Recreation (2006.05).
[31] Directive for HOPCs (forthcoming), para. 52.

purposes Furthermore, the Police COS and/or focal point, must actively engage the mission to support and address the specific welfare needs of police personnel. The Police COS should also make regular visits to sectors and conduct regular meetings with contingent commanders to assess morale.

69. The contingent commander for IPOs, who is appointed by his or her national government, is also responsible for monitoring the welfare of IPOs in the mission area.[32] In addition to contingent commanders,[33] FPU commanders are fully responsible for ensuring the welfare of their unit members. The FPU Coordinator oversees the existence of welfare-related provisions as per the MoU between the PCC and the UN.

h) Checkout procedures

70. The PHRMU must ensure that procedures are in place to facilitate the timely checkout of all police personnel, including that performance appraisals are duly completed by supervisors; that attendance documentation is submitted to the mission Finance or Human Resources Section; and that officers involved in ongoing investigations, whether as a subject or witness, have provided statements and that their role in the investigation is complete. The Police Logistics Unit must ensure officers return all United Nations-owned equipment (UNOE) assigned to them and remind them that a portion of the mission subsistence allowance (MSA) entitlement of all departing personnel will be withheld, from which the mission will settle outstanding personal charges (such as telephone charges, liberty mileage, etc.). Overall checkout procedures are established and administered by the mission's administrative unit, while contingent commanders are responsible for ensuring their FPU members complete checkout procedures.[34] Performance reports shall be introduced during checkout.

D.6.2 Administrative personnel matters

a) Attendance, leave and allowances[35]

71. The PHRMU facilitates the smooth administration of personnel entitlements for all police personnel. It is responsible for managing and collecting documentation, including from the FPU Coordinator, relating to attendance, CTO, leave and/or other claims, for example, related to travel or medical expenses and submitting these to the mission Human Resources or Finance Section, as applicable. On the basis of attendance information received from PHRMU, the mission Human Resources Section is responsible for implementing the leave and CTO system, and the mission Finance Section administers payroll and processes the payment of allowances, as well as settles any medical or travel-related claims (concerning travel subsistence allowances and terminal expenses).[36]

72. The PHRMU is responsible for putting in place processes for recording and storing officers' attendance records, either electronic or hard copy. Hard copies of leave records for all police

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[32] Guidelines for UNPOL on Assignment to UN Peace Operations (2007.07), paras. 34, 35(a) and (g).
[33] Guidelines for FPUs on Assignment with Peace Operations (2006.15), paras. 32, 33(a) and (g).
[34] See also Field Finance Procedure Guidelines (2011), p. 91.
[35] For additional information on relevant leave, financial entitlements and medical coverage of police personnel, see UN Staff Regulations and Rules, for officers and civilians on contracted posts; Guidelines for UNPOL on Assignment with Peacekeeping Operations (2007.07), paras. 93, 111, 128-136, 143, for IPOs; Guidelines for FPUs on Assignment with Peace Operations (2006.15), paras. 43-54, 66, 68-71 for FPU members; Guidelines for Non-Uniformed Civilian-GPP (2015.01), paras. 8, 44-52.
[36] Entitlements for FPU members are paid collectively to each FPU paymaster, who is tasked with their disbursement.

personnel will be held with the office of the Police COS. All UN previsions, rules and procedures related to the classification, management and retention of records should be strictly adhered to.

73. Leave and compensatory time-off (CTO): As detailed in their respective guidelines, police personnel on contracted posts, IPOs on non-contracted posts,[37] FPU members and civilian experts accumulate 2.5 days of annual leave for each month of completed service. Police personnel shall ensure that any scheduled leave or absence is documented in accordance with UN regulations concerning leave, CTO or illness, as applicable. IPOs are also eligible for CTO as detailed in a mission SOP, which PHRMU administers on behalf of IPOs and FPUs. CTO is earned at the rate of 0.2 days for every day worked in the mission.

74. Allowances: Various allowances are payable, including as follows:

a) officers against contracted posts are entitled to danger pay and a hardship allowance as per the UN Staff Regulations and Rules;

b) IPOs are entitled to receive MSA to cover the cost of daily living expenses incurred in connection with their assignment and uniform/clothing allowance;

c) FPU members are entitled to receive a daily allowance, payable for days or parts of days contingent members spend in the mission area, including when on recreation leave, and a recreation leave allowance for up to 15 days of leave taken during each six-month period; and

d) Civilian experts are entitled to receive MSA.

b) Medical coverage

75. All UN police personnel are entitled to access UN medical facilities. The UN also provides coverage for medical services, including hospitalization and emergency evacuations, for illness or injury attributable to conditions and hazards within the area of assignment and occurring during their service in the mission area. The revised Medical Support Manual (2015) serves as a standard reference document for such aspects of United Nations peacekeeping operations and special political missions in the field.

c) Notification of Casualty (NOTICAS)

76. The death of police personnel in the mission area must be immediately reported through a flash report submitted through the chain of command to the HOPC, HOM and UN Operations and Crisis Centre at UNHQ, as detailed in mandatory UN reporting procedures.[38]

77. In case of death in service of police personnel, the Police COS, through the HOPC and with the authorization of the HOM, must alert PD, which is responsible for notifying the officer's national authorities. The Police COS will coordinate with the mission Chief of Staff and the DMS/CMS in relation to in-mission procedures, including the organization of a memorial service and transportation and repatriation of the deceased, as well as with the mission Human Resources Section, which is responsible for initiating processes relating to entitlements. If cases of death outside the mission area

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[37] The Guidelines for UNPOL on Assignment to UN Peace Operations (2007.07) were amended by Administrative Instruction 2009-UNHQ-002121 of 9 February 2009 to provide for 2.5 days leave.

[38] SOP on Integrated Reporting from DPKO-led Field Missions to UNHQ (2012.01); SOP on Notification of Casualties in Peacekeeping Operations and Political and Peace-Building Missions (2006.04).

while still serving the mission, the contingent commander must provide all required information and certifications to the Police COS.

d) Compensation claims

78. Police personnel who sustain injury or illness which may be considered attributable to the performance of their official duties may seek to claim compensation if injury or illness results in a permanent loss of function or permanent disability, including the reimbursement of medical expenses. In cases of permanent disability or death, the government of the PCC may submit a claim for compensation on behalf of the individual or his or her beneficiaries through its Permanent Mission in New York.[39] To allow for the processing of a compensation claim received from the government, the Police Commissioner must forward a signed Confirmation of Notification of Casualty (NOTICAS)[40] to the Field Budget and Finance Division, to confirm that the incident that lead to the permanent disability or death was mission-related and was not the result of wilful misconduct or gross negligence on the part of the individual. This policy and procedures apply to all uniformed personnel.

e) Contingent commander meetings and medal parades

79. The PHRMU is responsible for receiving requests from contingent commanders for the holding of periodic contingent meetings or medal parades, as provided for in the respective IPO and FPU Guidelines. The PHRMU, through the Police COS, will consult with the HOPC on such requests, which can only be convened with the approval of the HOPC. The Police COS, with the support of contingent commanders, liaises with mission counterparts, such as the mission Chief of Staff and DMS/CMS, in relation to practical arrangements related to contingent meetings and medal parades, such as acquiring the necessary equipment to hold the event (i.e., public address system), transportation, invitations, catering, etc.

f) Delegation visits

80. The PHRMU through the Police COS liaises with PD in relation to requests by PCC delegations to conduct visits to the mission area, whether for reconnaissance and/or pre-deployment purposes. Requests for PCC visits are approved, directed, organized and/or coordinated through PD. PHRMU, supported by the FPU Coordinator in the case of FPUs, will communicate with PD in relation to the timing of the visit and other prerequisites.[41] PHRMU, in consultation with the respective contingent commander, will coordinate operational aspects of the visit, including transportation, security and accommodation arrangements, as needed.

D.6.3 Knowledge management and best practices

81. The Police COS, on behalf of the HOPC, shall ensure that information concerning the component's activities is progressively collected, shared, analyzed and disseminated within the component with a view to developing the component's institutional knowledge, especially best practices and lessons learned. In particular, the Police COS will designate a Policy and Best Practices Officer (Police PBPO), who shall work with the component's Internal Evaluation Unit (IEU) and

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[39] In accordance with General Assembly resolutions A/RES/52/177 and A/52/369 and related documents.
[40] See SOP on Notification of Casualties in Peacekeeping Operations and Political and Peace-Building Missions (3 Jan 2006); SOP on Integrated Reporting from DPKO-Led Field Missions to UNHQ (2012.01).
[41] See Policy Directive on Contributing Country Reconnaissance Visits (2005.6); SOP on Planning and Implementing Contributing Country Reconnaissance Visits; Policy Directive on Pre-deployment Visits (Oct 2005).

mission Policy and Best Practices Unit, if any, or the DPKO-DFS Policy and Best Practices Section at UNHQ, using the knowledge-sharing tools available on the Policy and Practice Database (PPDB). The designated Police PBPO shall also disseminate relevant best practices and lessons learned from other missions within the police component to avoid unnecessary duplication of effort.

82. In accordance with the DPKO-DFS Policy on Knowledge Sharing and Organizational Learning (Ref. 2015.13), the Police COS should initiate, at the request of the HOPC or other senior command staff, after action reviews (AAR) or lessons learned (LL) exercises in the case of major events or incidents that include instances of casualties; new mission planning or review processes; attacks on peacekeepers; significant budget savings achieved or overspending; and mission transitions. At the HOPC's request, the Police COS is responsible for determining the parameters of the LL exercise, identifying the composition of the team and defining its terms of reference and timelines for producing a report. Where the mission initiates a mission-wide AAR or LL study, the Police COS is responsible for acting as the focal point vis-à-vis the mission leadership with the support of the designated Police PBPO. Internally, depending on the subject matter of the review, the Police COS, in consultation with the HOPC, may delegate preparation of the component's contribution to the appropriate pillar chief.

83. PHRMU should also put in place procedures to ensure that HOPCs and their deputies complete their mandatory end-of-assignment reports (EoAR) and that all outgoing police personnel prepare handover notes prior to transferring or separating from the mission. Through the Police COS, the designated Police PBPO should also submit EoARs to the mission Policy and Best Practices Unit, if it exists, or to the Knowledge Management and Guidance Team of the DPKO-DFS Division of Policy, Evaluation and Training (DPET) by e-mail at Peacekeeping-BestPractices@un.org for uploading to ppdb.un.org, thereby enabling widespread dissemination to other missions.[42]

D.6.4 Records management and information security

84. Records management: The Police COS is responsible for developing guidance to be approved by the HOPC pertaining to the creation, maintenance (in hard copy and/or electronic form), sharing, where appropriate, and disposal of all police records. He or she should be familiar with the Peacekeeping File Classification Scheme (PK FCS) and the Peacekeeping Operations Retention Schedule (PORS). The Police COS is responsible for the coordination of administrative records within the component's HQ. Supervisors at all levels shall be responsible for the management of police records originated by and maintained within their area of responsibility.[43]

85. Information security: The Police COS is responsible for ensuring that police personnel are familiar with the content and standards set out in the Secretary-General's Bulletin on Information Sensitivity, Classification and Handling (ST/SGB/2007/6). All police component documents and records containing sensitive information should be classified, labelled, stored and handled in

[42] See DPKO-DFS Policy on Knowledge Sharing and Organizational Learning (2015.13); Directive for HOPCs (forthcoming), para. 74 and 82.

[43] Secretary-General's Bulletin - Recordkeeping and the Management of UN Archives (ST/SGB/2007/5); DPKO-DFS Policy Directive on Records Management (2008.02); UN Archive and Records Management Section (archives.un.org/http://archives.un.org/ARMS/); Mission Start-Up Field Guide (2010.1), pp. 47-48 ('Information management').

accordance with UN standards.[44] Only authorized personnel should have access to medical and disciplinary information, which are confidential by nature.

86. The Police COS is also responsible for overseeing the establishment of an in-mission shared drive to manage and store the police component's key work products, correspondence (internal and external), work plans, agreements, etc., in order to facilitate access to information and prevent loss. The Police COS shall also ensure that all police personnel have access to COSMOS, a web-based information storage and sharing platform.

D.7. Security, Occupational Safety and Environmental Unit

87. The Police Security and Occupational Safety Unit may comprise the following functions:

88. A Police COS should nominate a Police Security Liaison Officer to act as a liaison vis-à-vis the mission's Security Section in relation to safety and security matters concerning police component personnel, including an evacuation plan. The HOPC and his or her delegates remain responsible for developing mission-level operational security plans that involve the use of FPUs to restore security in case of emergencies.

89. Security issues: All UN personnel are responsible for their own safety and security and for complying with the Organization's and the mission's security policies and procedures, as detailed in the UN Field Security Handbook. The Police Security Liaison Officer is nonetheless responsible for periodically reminding police component personnel of mission policies and procedures under the Security Management System such as: ensuring compliance with mission MOSS (relating to workplace security and including matters such as vehicles, radio checks, maintenance of vehicle VHF/UHF radios, first aid kits, vehicle equipment, etc.) and RSM (regarding safe accommodation located within an approved warden zone); continuously providing the Police COS and mission Security Section with updated contact information (including home address, cellphone numbers and radio call signs) in case of an emergency warranting the relocation of personnel within a mission area or evacuation[45]; requesting mandatory security clearances prior to undertaking all official travel via written request or "Travel Request Information Process" (TRIP) (at trip.dss.un.org/); being aware of available medical arrangements in the mission area and how to access them or call for emergency medical assistance; receiving notifications from the Security Operations Centre (SOC) related to security risk assessment/threat levels and restrictions of movement and concerns about residential

[44] Secretary-General's Bulletin - Information sensitivity, classification and handling (ST/SGB/2007/6, 12 February 2007).
[45] The decision to relocate UNPOL will be made upon consultation between the Designated Official, the Department of Peacekeeping Operations and the Department of Safety and Security.

and office security; being familiar with a mission's crisis management plan and procedures detailed therein relating to the relocation and evacuation of personnel; and participating in mission-organized safety drills.[46]

90. All in-mission movements of police personnel must be authorized by the respective supervisors and communicated to the Police COS. Procedures for operational movements should follow mission-stipulated safety protocols. In case of movements of essential police personnel to undertake mission-critical activity, the Police COS will request HOPC to get clearance from the Designated Official or HOM.

91. Armed missions: In missions where IPOs are also mandated to carry arms, the Security Liaison Officer shall be responsible for the establishment and management of an armament unit at mission HQ where IPO weapons are stored, as well as related administration, for instance, inspecting the arms and preparing relevant documentation when contingents arrive in and depart from the mission area, or when IPOs take CTO or leave the mission area. The HOPC is responsible for issuing clear and concise instructions regarding when and where IPOs are allowed to carry firearms and when and how they are permitted to use them, including proper methods of carrying and maintaining weaponry and the appropriate use of force. Additionally, the Administration Pillar must undertake ancillary activities, including ensuring firearms training and testing, firearm maintenance capacity and the establishment of a secure armory at the police component's HQ for the storage of weapons. The Security Liaison Officer must ensure police personnel are aware of information relating to the safe storage and carriage of weapons, as well as disarm upon entry to mission premises.

92. Occupational safety: HOPCs, through the Police COS, may also nominate the Police Security Liaison Officer as the Police Occupational Safety Focal Point with tasks to oversee workplace safety, i.e., that machinery and equipment used by police component personnel are handled in compliance with safe work practices and procedures; prepare occupational safety incident reports; conduct safety incident fact findings, safety incident summaries, briefings, etc.; and participate in a mission's Occupational Health and Safety Committee on behalf of the police component. The Police OS Focal Point also receives complaints or suggestions for improvements relating to occupational safety from police personnel.[47]

93. Environmental matters: The Police COS may also appoint the OS Focal Point to serve as the Environmental and Waste Management Focal Point within the police component to liaise with the Environmental Officer/Unit and to deal with environmental issues related to the police component. Further, in planning all police component activities, the focal point can advise the Police COS, who is responsible for ensuring that consideration is given to integrating environmental measures into planning and operations in order to avoid and minimize the impact of police activities in the mission area.[48]

D.8. Police Learning and Development (L&D) Unit

94. The Police Learning and Development Unit is typically structured as follows:

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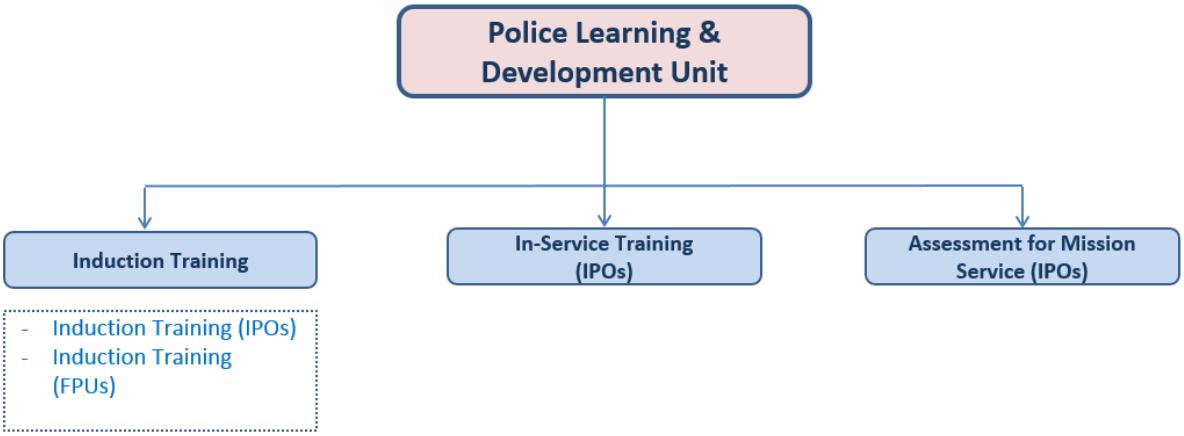
[46] See further: DPKO Policy Manual on the Applicability of the Arrangements of the United Nations Security Management System (2011); UN Field Security Handbook: System-wide Arrangements for the Protection of United Nations Personnel and Property in the Field (2006).

[47] See DPKO-DFS-DPA Policy on Field Occupational Safety Risk Management (FOSRM) (2012.14); DPKO-DFS Incident Reporting SOP (2012.16); Directive for HOPCs (forthcoming), para. 55.

[48] DPKO-DFS Environment Policy (2009.06); DPKO-DFS Waste Management Policy (2015.06).



95. In missions with a sizeable police presence, the Police Induction Unit is physically integrated within an IMTC, in which case the head of the Police Induction Unit has a dual reporting line to the Chief of the IMTC and the HOPC.[49] In missions with a smaller police presence, the HOPC may appoint an IPO to act as focal point vis-à-vis the IMTC to carry out the foregoing functions in addition to his or her normal duties.

D.8.1 In-mission assessment for mission service

96. The L&D Unit is responsible for conducting Assessment for Mission Service (AMS) in the mission area where IPOs were not AMS-cleared prior to deployment – either because they were exceptionally granted permission, or were already in the mission area and are being re-hatted. Accordingly, the Chief/L&D Unit, under the guidance of the Police COS, should ensure sufficient personnel within his/her unit are AMS instructors certified by PD. Subject to mission limitations, IPOs must be assessed within one week of arriving in the mission area or of re-hatting to a UN mission. The rules and procedures governing the conduct of the AMS in Member States apply equally to the in-mission AMS, unless stated otherwise. Either the head of the Police L&D Unit, who should be a certified AMS instructor, or any other certified AMS instructor to whom the Chief/L&D Unit delegates the task, will conduct an in-mission AMS, in coordination with contingent commanders and as per procedures outlined in DPKO-DFS SOP on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2011.18). IPOs who do not pass the in-mission AMS will be repatriated at the cost of their contributing country.

97. Where required, the FPU Coordinator is responsible for liaising with PD in relation to administering the Assessment of Operational Capability (AOC) for FPU members in the mission area, as outlined in the SOP on Assessment of Operational Capability of FPUs for Service in United Nations Peacekeeping Operations (Ref. 2012.11). FPUs or their members who do not pass the AOC are repatriated at the cost of their contributing country.

[49] While the Chief IMTC exercises tasking authority over police personnel assigned to the IMTC, the HOPC retains operational control over police training officers assigned to the IMTC as per the Policy on Authority, Command and Control in United Nations Peacekeeping Operations (2008.04), para. 62.

D.8.2 Induction training

98. Induction training is the gateway into the mission and should be used to motivate and enable officers to implement the mission mandate with integrity, professionalism and respect for diversity. The Police L&D Unit delivers training modules and induction sessions related to the police component's work as part of the mission integrated induction organized by the Integrated Mission Training Centre (IMTC) for all UN personnel, including civilians. The Police Induction Unit also delivers an additional police-specific induction for incoming officers covering, for example, personnel and administration matters, the police component's structure and operational framework, police roles in the mission area and reporting requirements.[50]

99. Police-specific induction should follow a training manual that assures a minimum level of quality of training. The content should be updated regularly to reflect the mission mandate and relevant UN guidance. Close coordination with other pillars of the police component and the mission is required to ensure that training content is in line with the needs of mandate implementation.

100. The Police COS, through the Police Induction Unit, is responsible for ensuring that all incoming police personnel undertake in-mission induction training conducted by the IMTC so that all police personnel understand: the mission and its mandate, as well as the history, culture, social norms, gender roles and legal system of the mission area; the functioning of a field mission and mandatory UN policies relating to, *inter alia*, human rights roles and responsibilities, the UN Human Rights Due Diligence Policy, standards of conduct, sexual exploitation and abuse, and environmental awareness; and are familiar with health, safety and security-related issues of the mission area.[51] The Induction Unit must ensure that during induction all officers are trained in and receive copies of key UN policy documents in English or French and acknowledge receipt and understanding by a signed written form, which shall be stored in the Front Office of the HOPC.[52]

101. During mission start-up where an IMTC may not yet be fully operational, the Police Induction Unit is responsible for developing and organizing induction training for incoming police personnel. This includes developing mission-specific Induction Information Packages for distribution to incoming officers. Alternatively, a field mission may request the Integrated Training Service of DPET for a mobile training team to come to the mission to support peacekeeping training for personnel, especially where uniformed personnel are required to be re-hatted from a non-UN mission.[53]

D.8.3 In-service training and skills development plan

102. The L&D Unit develops the component's skills development plan, in consultation with pillar chiefs, the FPU Coordinator and the Planning Unit, who are responsible for identifying the specialized training needs of personnel within their respective chains of command. The L&D Unit is tasked with ensuring, *inter alia*, that the police component's learning needs, as detailed in the skills development plan, are reflected in the Mission Training Plan and are properly budgeted for.[54]

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[50] United Nations Mission-Specific Induction Training: Minimum Standards for Peacekeeping Personnel (2012).
[51] United Nations Mission-Specific Induction Training: Minimum Standards for Peacekeeping Personnel (2012); Policy on Training for all United Nations Peacekeeping Personnel (2010.20), which encompasses induction training; Directive for HOPCs (forthcoming), paras. 75-76 ('Induction training and undertaking '), 94 (Standards of Conduct), 102 (in-mission induction to include sexual exploitation and abuse).
[52] Guidelines on Police Command (2015.14), para. 15.
[53] DPKO-DFS SOP on Mobile Training Teams (2015) on delivering pre-deployment training.
[54] See Policy on Training for all UN Peacekeeping Personnel (2010.20), Annexes 4 and 5.

103. On the basis of the component's skills development plan, the L&D Unit is responsible for delivering and/or organizing the delivery of the additional training for IPOs, in collaboration with the IMTC through periodic workshops. Although PD/SRS ensures that IPOs with relevant expertise are selected for service, in-mission training reinforces particular expertise or, where necessary, augments the number of IPOs with a particular skill or ability. Missions with capacity-building and development tasks[55] may offer IPOs more detailed training focused on the methodology of delivering training (train-the-trainer courses), as well as topics concerning monitoring, advising and mentoring, capacity-building and community-oriented policing, in cooperation with the host-State police. Training may also focus on substantive topics, such as investigations, sexual- and gender-based violence, gender mainstreaming, child protection or the protection of civilians. Training should be specific to the local context for maximum efficiency and impact.[56]

104. The FPU Coordinator is responsible for organizing FPU-training on FPU-specific topics such as protection of civilians issues, firearms training, police tactics and techniques, public order management and command staff training.[57] Training should also include an inter-operations harmonization exercise between various FPUs coming from different nations to ensure standard operating practices as defined in the Policy (Revised) on FPUs.

105. Where deemed useful to the mission, officers may also be selected to participate in trainings that take place outside the mission area. All officers attending training outside the mission area must have a minimum of six months left to serve in the mission. The Police COS shall determine such requests, in consultation with the Chief/L&D Unit.

D.9. Police Professional Standards Unit

106. The Police Professional Standards Unit (PPSU) typically oversees standards compliance and internal investigations.

D.9.1 Police Standards Compliance

107. With the delegated authority of the HOPC,[58] the Police COS and PPSU, supported by contingent commanders for IPOs and FPU commanders, are responsible for maintaining and enforcing professional standards and conduct and ensuring that mission guidance concerning conduct and discipline matters is fully complied with.

108. PPSU works to uphold the police component's compliance with UN, mission-specific and HOPC-issued guidance and directives relating to professional standards and respect for United Nations standards of conduct. PPSU ensures that all police personnel are aware of their duty to report suspected misconduct and raises awareness, both within the component and the wider community, of

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[55] As outlined in the Police Capacity-Building and Development Guidelines (2015.08).

[56] Secretary-General's Bulletin on Learning and Development Policy (ST/SGB/2009/9); Guidelines on Design, Delivery and Evaluation of Training (Training Cycle) (2014.13); Policy on Training for all UN Peacekeeping Personnel (2010.20), which outlines the process by which UN peacekeeping training is identified, prioritized and leads to the development, budgeting, delivery and evaluation of training to meet strategic and mission-level needs; Directive for HOPCs (forthcoming), para. 77 ('Learning workshops').

[57] Policy (Revised) on FPUs (2009.32), paras. 52, 104. ITS, in conjunction with the Police Division, developed a standardized pre-deployment curriculum covering these topics for PCCs deploying FPUs, which is available on the UN Peacekeeping Resource Hub (at http://research.un.org/FPUPackage).

[58] Directive for HOPCs (forthcoming), paras. 47 ('Minor misconduct'), 65 ('Human rights standards'), 97-102 (Standards of Conduct; Discipline; Misconduct).

available means for reporting complaints and allegations concerning police personnel. PPSU ensures that public complaints of dissatisfaction or misconduct about police personnel that it receives are promptly acted upon. PPSU must also periodically reiterate to senior police command staff, including pillar chiefs and contingent commanders, their continuous additional responsibilities in their capacity as senior staff to uphold and enforce United Nations standards of conduct and the zero-tolerance policy on sexual exploitation and abuse, which consider the failure to follow up on complaints itself a violation warranting disciplinary action and repatriation.[59]

109. PPSU works in close collaboration with the mission conduct and discipline team (CDT) or focal point concerning disciplinary matters and/or the mission Sexual Exploitation and Abuse Focal Point, if any, in relation to continuously innovating and enacting concrete preventive measures within the police component to reduce the risk of sexual exploitation and abuse. PPSU also works with the mission CDT, Sexual Exploitation and Abuse Focal Point or other sections in the conduct of mission-level risk assessments to identify factors facilitating the occurrence of sexual exploitation and abuse or other forms of misconduct by police personnel and to develop measures to mitigate identified risks, e.g., surveillance mechanisms around off-limits areas, inspections of contingent camps and whistleblower protections. PPSU also ensures coordination and information-sharing with the military and human rights components concerning all human rights violations, including allegations of sexual exploitation and abuse.

D.9.2 Police Internal Investigations Unit[60]

110. The PPSU is supported by a Police Internal Investigations Unit (PIIU). The PIIU, upon the instruction of the HOPC and as directed by and under the authority of the HOM, may conduct investigations into allegations of misconduct, in accordance with applicable procedures and with full respect for due process and principles of confidentiality. The PIIU also coordinates and shares information concerning allegations received and investigations conducted with a mission CDT or Conduct and Discipline Focal Point, depending on the mission. PIIU investigations conclude with a written report with supporting evidence and which shall, where possible, include findings regarding facts established during the investigation and conclusions if misconduct was established or not. PIIU reports shall be transmitted to the mission CDT for review and determination by the HOM of potential further action.

111. All information regarding allegations of misconduct received and the results of investigations conducted by the PIIU into allegations of misconduct shall be shared with the mission CDT or Conduct and Discipline Focal Point for entry and recording in the Misconduct Tracking System maintained by DFS. Such information will be shared with PD, which will consider this information when reviewing Member State nominations or conducting background and reference checks of officers for future deployments.[61]

112. Where appropriate, and when requested by the HOM in consultation with the HOPC, PIIU members may also participate in immediate response teams constituted in-mission to gather and

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[59] Secretary General's Bulletin - Special Measures for Protection from Sexual Exploitation and Sexual Abuse (ST/SGB/2003/13); Secretary-General's Bulletin - Prohibition of Discrimination, Harassment, including Sexual Harassment, and Abuse of Authority (ST/SGB/2008/5); Code of Conduct for Law Enforcement Officials (1979.

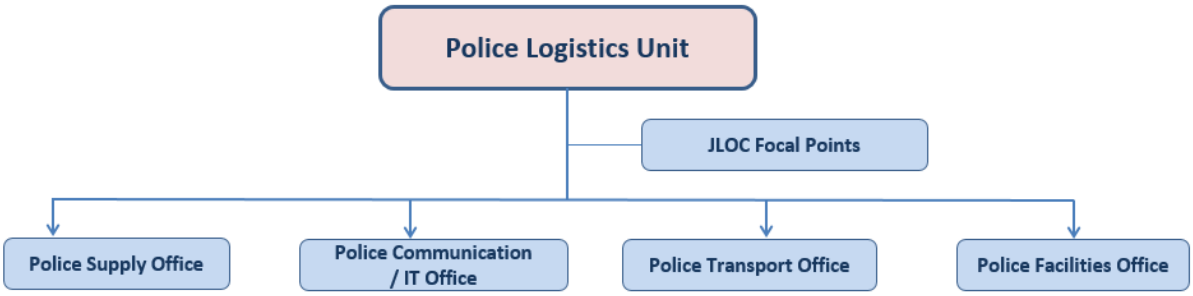
[60] PIIU is distinct from the Investigations Unit (IU) within a police component's Operations Pillar and as discussed in the Police Operations Guidelines, para. 58.

[61] SOP on Selection and Recruitment (2011), para. 73; Guidelines on Non-Uniformed Civilian GPP (2015.01), para. 16.

preserve evidence in cases of allegations of sexual exploitation and abuse. Under the same conditions, PIIU members may also be requested to participate in or assist with investigations being conducted by other mission entities, such as the Special Investigation Unit, or by the Office of Internal Oversight Services.

D.10. Police Logistics Unit

113. The Police Logistics Unit (PLU) comprises individual offices as well as a police desk officer co-located in the mission JLOC, as set out hereunder:



D.10.1 Developing an annual logistics plan

114. The Chief PLU, in consultation with the other pillar chiefs, develops an annual logistics support plan for the police component, taking into consideration the key plans of the other pillars of the component such as the deployment plan and RBB. The logistics plan must both support the operational work of the other pillars in furtherance of the police CONOPS, as well as the arrival and departures of police personnel, including FPUs. The logistics plan provides the Mission Support Division with a comprehensive overview regarding the deployment of IPOs throughout the mission area, including the actual total number of IPOs in the mission area per month, as well as their location in mission HQ and the regions and their logistic needs as described below. The plan may also set out the deployment details and location of all FPUs, including their needs in terms of supplies and infrastructure as per the signed memorandum of understanding (MOU) between PCCs and the UN. The Chief PLU should ensure the plan adequately meets the support requirement and the operational needs of IPOs and FPUs.

115. PLU reviews the police component's logistics and support plans on an ongoing basis, making revisions as needed to reflect changes in mission mandate or downsizing. It also develops logistics contingency plans to deal with emerging situations and coordinates logistics needs with JLOC, as further described hereunder.

D.10.2 Logistics needs and coordination

116. <u>Needs of IPOs, civilian police experts and civilians:</u> The Chief Logistics, through the heads of the individual logistics offices, is responsible for facilitating the logistics needs of all police personnel deployed in the mission area, including those in regions/sectors. PLU is responsible for coordinating with the Mission Support Division to secure key equipment and infrastructure necessary to support operational needs, whether for individual or common or shared use, including communications (computers and radios in particular), vehicles/fleet, photocopiers, air conditioners, generators, etc.

During a component's start-up, PLU must also secure basic infrastructure such as building/office facilities or prefabricated facilities such as containers that are MOSS-compliant.

117. PLU offices identify police needs, in consultation with the chiefs of the component's pillars, and liaises with the JLOC and, if required, other mission support sections. The police desk officer in JLOC advises the Chief JLOC of needed support arrangements, including day-to-day routine issues specific to FPUs and IPOs. JLOC, which is responsible for managing and apportioning use of all mission assets, reviews, prioritizes and manages requests from all mission components for logistics support and accommodates requests based on the resources available in the mission area at the time of request and the mission's operational priorities. Once approved by DMS/CMS, JLOC officers coordinate with and issues relevant task orders to Integrated Support Services for implementation.

118. The Police COS will coordinate with the DMS/CMS to allocate equipment among all mission personnel on the basis of pre-established ratios set out in the 2005 DPKO Standard Cost Ratio Manual, with variations to reflect mission priorities and realities. Allocation ratios seek to ensure equality among mission components. The ratios are as follows:

a) vehicles: one per 2.5 IPOs (operations) and 4.5 IPOs (administration);

b) computers: one desktop computer per IPO and one laptop per five IPOs;

c) desktop printers: one per four desktop computers; and

d) handheld radios: one per IPO.

119. IPO professional equipment: The Police COS through the Chief Logistics is responsible for securing from the Mission Support Division the minimum UN clothing for IPOs, including a blue beret, caps, cap badge, neck scarf and six shoulder patches to be worn on their uniform shirt or jacket. The Police COS through the Chief Logistics is also responsible for verifying that incoming IPOs arrive in the mission area with the minimum equipment, including police uniforms, national identification symbols such as flags to be worn on uniform shirts and jackets, as well as functioning side-arms and ammunition provided by the sending PCC in armed missions. The COS is responsible for liaising with the respective unit of the mission to ensure an adequate stock of personal protective equipment. [62]

120. FPUs and contingent owned equipment (COE): Matters related to FPU COE are the primary responsibility of the HOPC or his/her delegates, the FPU Coordinator and FPU Commanders, who work directly with the mission COE Unit with respect to equipment inspections and periodic operational readiness inspections of FPU COE. A representative of the office of the FPU Coordinator shall be embedded with the COE and Logistics Units to provide technical advice to COE inspectors and to facilitate the exchange of information on inspection findings between the mission COE Unit and PD. The Chief PLU, Police COS and HOPC should at all times be kept updated of FPU COE matters, such as the status, quality and shortfalls in FPU equipment that impact an FPU's operability. The FPU Coordinator liaises with the PD FPU Coordination Unit, which communicates with PCCs to rectify any issues. The Police COS and PLU can provide the FPU Coordinator with administrative and technical support in this regard.[63]

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[62] Guidelines for UNPOL on Assignment to Peacekeeping Operations (2007.07).

[63] See also 2014 Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual) - Chapter 3 (COE verification and reporting process) and Chapter 10 (outlining HOPC, DMS/CMS and Contingent Commander responsibilities); Policy (Revised) on FPUs (2009.32), paras. 73, 76-77, 79-90.

121. The Chief PLU and/or FPU Coordinator, in coordination with JLOC, must also ensure that supplies and support are given to re-hatted FPUs upon transition from a regional organization to a UN-led operation. Upon re-hatting, FPU contingents may be given a grace period in which to acquire the operational logistics and meet other FPU-specific requirements.

122. FPUs and UN-provided goods: The FPU Coordinator and FPU commanders or his or her delegates may coordinate directly with JLOC for obtaining UN-provided goods, such as rations, water and fuel, as well as support and services including re-supply and replenishment provided pursuant to the MOU with the PCC.

123. FPU movements (deployments, rotations, re-deployments and repatriation): Matters related to all movements of FPU and COE, including to/from, between and within mission areas, are the responsibility of the FPU Coordinator in collaboration with PD/SRS and the mission Movement Control Section and are to be effected in accordance with processes detailed in the DPKO-DFS Movement Control Manual.

D.10.3 Asset management

124. PLU is responsible for ensuring the traceability and accountability of UNOE assigned to police personnel, and that police personnel understand and comply with mission Property Management procedures, in particular relating to responsibility and due care for allocated UNOE. All police personnel allocated UNOE obtained by PLU are required to sign voucher forms acknowledging receipt of UNOE during their ToD and are entrusted with the responsibility and care of that property for the duration of their ToD. Senior staff or designated personnel within sections/units may also sign for and hold in their name assets intended for the common usage of unit or section (e.g., photocopiers, faxes, air conditioners). Damage, breakage or loss of UN property must be reported through appropriate channels. PLU also facilitates periodic inspections by a mission Property Management to physically verify the presence and location of UN-issued items.[64]

D.10.4 Procurement matters

125. The Procurement Section of a Mission Support Division is solely authorized and responsible for procuring materiel and services for mission components and only the DMS/CMS and his/her delegates in a field mission have the authority to commit UN financial resources for any purpose, including contractual arrangements for the use of local resources. Where PLU submits a request for supplies or services to the JLOC that cannot be satisfied through a mission's existing stock, the request can be forwarded to the mission Procurement Section for its attention and action, provided the requisitioned items are budgeted for. PLU officers should be aware of the timelines involved in obtaining various requisitions.

E. TERMS AND DEFINITIONS

Capacity-building: Efforts to strengthen the aptitudes, resources, relationships and facilitating conditions necessary to act effectively to achieve an

[64] See also DPKO-DFS Property Management Manual (2006.22).

intended purpose. Capacity-building targets individuals, institutions and their enabling environment.

Civilian: International or national staff members who are not uniformed, i.e., police or military, personnel.

Contingent: All formed units, personnel and equipment of the PCC deployed to the mission area under an MOU between the UN and the PCC for the leasing of equipment and the provision of services to personnel.

Contingent-owned equipment (COE):

Any police equipment owned by a Member State brought to the mission area with the prior agreement of UNHQ and for which the Member State intends to claim reimbursement under an MOU between the UN and the PCC for the leasing of equipment and the provision of services to personnel.

Directive: An official instruction, order or command to a designated senior mission manager of a United Nations peacekeeping operation. Directives can be issued by, for example, the Under-Secretary-General for Peacekeeping Operations to Special Representatives of the Secretary-General, Force Commanders and Police Commissioners.

Director of Mission Support/Chief of Mission Support (DMS/CMS):

The civilian head of a Mission Support Division, which is responsible for all of the mission's administrative and support services.

Formed Police Unit (FPU): Cohesive mobile police units, providing support to United Nations operations and ensuring the safety and security of United Nations personnel and missions, primarily in public order management.

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 me benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.

Guidelines: Any document that is not a policy or SOP which provides direction on a specific task, process or activity; and may include manuals, handbooks, toolkits, or other similar instruction. Compliance shall be clearly specified within and throughout the document.

Integrated Mission Training Centre (IMTC):

Staffed by civilian, police and military personnel, it is responsible for providing training services to all mission personnel.

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

Joint Logistics and Operations Cell (JLOC):

An integrated coordination structure within the Mission Support Division staffed by civilians, as well as police and military logistics

planners, that provides all mission components, as well as other UN and non-UN entities in the mission area with a single point of coordination for requesting logistics support in the mission area.

Lessons learned: Lessons identified from past actions, projects and operations and which are being applied or taken into account. Lessons can be positive or negative, in that they may recommend that an approach be replicated or avoided in the future.

Misconduct: Violations of applicable United Nations standards of conduct, including national laws of the host State. Misconduct may be further qualified as “serious misconduct". However, such further qualification will not impact on the requirement that all individuals who have engaged in any form of misconduct be held accountable.

On-boarding: The process whereby a selected candidate is deployed to a mission. It includes determining the salary grade, issuing the offer of employment or release request, arranging medical clearance and travel and scheduling participation in required training and orientation programmes.

Peacekeeping operation: Operation led by the Department of Peacekeeping Operations.

Police component: All United Nations police officers in a given mission, i.e. individual police officers (IPOs), Specialized Police Teams (SPTs) and/or Formed Police Units (FPUs).

Police Division: Comprises the Selection and Recruitment Section; the Mission Management and Support Section; the Strategic Policy and Development Section, located at UNHQ, and the Standing Police Capacity, located in Brindisi, Italy.

Police personnel: United Nations police organized within a peace operation, including Individual Police Officers (IPOs), Specialized Police Teams (SPTs) and/or Formed Police Units (FPUs).

Results-based budgeting (RBB): A strategic planning framework that focuses on concrete objectives, expected accomplishments and indicators of achievement for the allocation of resources. As such, the RBB aims to shift focus from output accounting (i.e., activities) to results-based accountability (indicators of achievements).

Specialized Police Team: A group of experts in a particular police specialism assigned to serve with the United Nations on secondment by an individual Member State or group of Member States at the request of the Secretary-General.

Special Political Mission (SPM): Operation led by the Department of Political Affairs.

Standard operating procedure (SOP): A standing instruction on how to implement a specific task, process or activity, or how to achieve a desired result. It provides institutional recognition of best practice methods or steps to be followed unless ordered otherwise. Compliance is mandatory.

Standards of conduct: Norms of conduct adopted by the United Nations for the conduct of its personnel, as defined in United Nations regulations, rules or other administrative issuances and in the Undertaking and Declaration by Experts on Mission. The United Nations standards of conduct include the obligation to respect the laws of the host State.

Standing Police Capacity (SPC): The rapidly deployable section of the UN Police Division which supports police components in field missions in the operational fulfilment of their police mandate through the deployment of personnel having specialized skillsets for assignments of varying duration.

F. REFERENCES

A comprehensive list of United Nations policy documents and guidance materials is included in Annex A for additional reference.

G. MONITORING AND COMPLIANCE

The United Nations Police Adviser and Director of the Police Division, as well as HOPCs within peacekeeping operations and special political missions, shall be responsible for monitoring and implementing these Guidelines.

H. CONTACT

The Chief of the Strategic Policy and Development Section, Police Division, Office of Rule of Law and Security Institutions, Department of Peacekeeping Operations, is the primary point of contact for all matters relating to these Guidelines, including its review.

I. HISTORY

This document supersedes the Guidelines for UNPOL on Assignment with Peacekeeping Operations (Ref. 2007.7) and other previous guidance pertaining to the administrative functions governing IPOs.

APPROVAL SIGNATURE:

DATE OF APPROVAL: 03/01/2017

APPROVAL SIGNATURE:

DATE OF APPROVAL: 09/01/2017

ANNEX A: UNITED NATIONS POLICY DOCUMENTS AND GUIDANCE MATERIALS BY SUBJECT-MATTER AREA

United Nations standards of conduct, violations and investigations

- Undertaking and Declaration by Experts on Mission
- Model Memorandum of Understanding between the United Nations and Police Contributing Countries (A-C.5-69/18)
- DPA-DPKO-DFS Policy on Accountability for Conduct and Discipline in Field Missions (Ref. 2015.10)
- Secretary-General's Bulletin - Special Measures for Protection from Sexual Exploitation and Sexual Abuse (ST/SGB/2003/13)
- Secretary-General's Bulletin - Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations (ST/SGB/2005/21)
- Report of the Office of Internal Oversight Services on strengthening the investigation functions in the United Nations, Annex III: Uniform Guidelines for Investigations (A/58/708)
- DPKO Directives for Disciplinary Matters involving United Nations Police and Military Observers (DPKO/CPD/DDCPO/2003/001)
- DPKO Directive on Sexual Harassment in United Nations Peacekeeping and Other Field Missions (DPKO/CPD/DSHCPO/2003/002)
- DPKO-DFS Policy Directive on Boards of Inquiry (Ref. 2008.23)
- DPKO-DFS Standard Operating Procedure on Boards of Inquiry (Ref. 2011.05)
- DPKO Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations (Ref. 2007.7), *currently under revision*
- DPKO-DFS Policy (Revised) on Formed Police Units in United Nations Peacekeeping Operations (Ref. 2009.32), *currently under revision*
- Code of Conduct for Law Enforcement Officials (1979)
- Code Cable 1612, Accountability Measurement Framework & Reporting Requirements for Conduct and Discipline in Field Missions (July 2014)
- DPKO-DFS-DPA Policy on Accountability for Conduct and Discipline in Field Missions, (Ref. 2015.10, Aug. 2015)

Cross-cutting issues

- Security Council resolution 2185 on United Nations police (2014)
- DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (Ref. 2014.1)
- OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions (Ref. 2011.20)

Death in service

- DM-OHRM Handbook for action in cases of death in service, 2011
- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-led Field Missions to UNHQ (Ref. 2012.01)
- DPKO-DFS Standard Operating Procedure on Notification of Casualties in Peacekeeping Operations and Political and Peace-Building Missions (Ref. 2006.04), *currently under revision*

Environment

- DPKO-DFS Environmental Policy for UN Field Missions (Ref. 2009.6)
- DPKO-DFS Environmental Guidelines for UN Field Missions

- DPKO-DFS Policy Waste Management Policy for UN Field Missions (Ref. 2015.06)

Gender

- DPKO-DFS Guidelines for Gender Advisers and Gender Focal Points in United Nations Peacekeeping Operations (Ref. 2008.11)
- DPKO-DFS Guidelines for Integrating Gender Perspectives into the work of United Nations Police in Peacekeeping Missions (Ref. 2008.30)
- DPKO-DFS Policy on Gender Equality in UN Peacekeeping Operations (Ref. 2010.25)
- United Nations Police Gender Toolkit: Standardised Best Practices in Peacekeeping (Ref. Nov. 2015)

HIV/AIDS

- Secretary-General's Bulletin – UN Policy on HIV/AIDS in the Workplace (ST/SGB/2003/18)
- DPKO HIV Testing Policy for Uniformed Peacekeepers (January 2004)
- DPKO-DFS Policy Directive on the Roles and Functions of HIV/AIDS Units in United Nations Peacekeeping Operations (Ref. 2007.11)

Immunity

- Secretary-General's Bulletin - Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission (ST/SGB/2002/9)
- Model Memorandum of Understanding between the United Nations and the Government of [*Country X*] contributing resources to [*the United Nations peacekeeping mission*] (in 2014 COE Manual)
- General Assembly resolution 62/63 on Criminal Accountability of UN officials and experts on mission (January 2008)
- General Assembly resolution 63/119 on Criminal Accountability of UN officials and expert on mission (January 2009)

In-mission assessments and appraisals

- DPKO-DFS Standard Operating Procedure on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2011.18)
- DPKO-DFS Policy (Revised) for Formed Police Units (Ref. 2009.32)
- DPKO-DFS Standard Operating Procedure on Assessment of Operational Capability of Formed Police Units for Service in UN Peacekeeping Operations (Ref. 2012.11)
- DPKO Standard Operating Procedure on Performance Appraisals of United Nations Police Officers (DPKO/PD/2006/11132; Ref. 2006.29)

Inspection and evaluations

- DPKO-DFS Policy on Internal Evaluations and Inspections of United Nations Police (Ref. 2012.13)

Media

- Media Guidelines for United Nations Officials (annexed to document DPI/2354, 16 July 2001)

PCC delegation visits

- DPKO Policy Directive on Contributing Country Reconnaissance Visits (Ref. 2005.6, Oct. 2005)
- DPKO SOP on Planning and Implementing Contributing Country Reconnaissance Visits, October 2005
- DPKO Policy Directive on Pre-deployment Visits, October 2005

Planning

- DPKO-DFS Guidelines on Component-level Planning on rule of law and security institutions issues, and associated 'Planning Toolkit' (Ref. 2012.03)
- United Nations Policy on Integrated Assessment and Planning (April 2013)
- DPKO-DFS and DPA Guidelines on The Mission Concept (Ref. 2014.04)

Records Management

- Secretary-General's Bulletin - Recordkeeping and the Management of UN Archives (ST/SGB/2007/5)
- Secretary-General's Bulletin - Information sensitivity, classification and handling (ST/SGB/2007/6)
- DPKO-DFS Policy Directive on Records Management (Ref. 2008.02)

Reporting

- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-led Field Missions to HQ (Ref. 2012.01, April 2012)
- DPKO-DFS Standard Operating Procedure on Notification of Casualties in Peacekeeping Operations and Political and Peace-Building Missions (Ref. 2006.04), *currently under revision*

Selection, Deployment, Redeployment, Vacancies, Appointments, Extensions, Repatriation, Duty Schedules, Leave, CTO, Medical, Allowances

- DPKO Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations (DPKO/PD/2006/00135; Ref. 2007.7)
- DPKO Guidelines for Formed Police Units on Assignment with Peacekeeping Operations (DPKO/PD/2006/00015; 8 May 2006)
- DPKO-DFS Standard Operating Procedure on Selection and Recruitment Procedures for United Nations Personnel at the Police Division, Peacekeeping Missions and Special Political Missions (25 March 2011)
- DPKO-DFS Guidelines for Non-Uniformed Civilian GPPs (Ref. 2015.01)
- Field Finance Procedure Guidelines (Rev. 2), May 2011
- 2015 DPKO-DFS Medical Support Manual for United Nations Field Missions (3rd Edition)
- Secretary-General's Bulletin - Regulations for the United Nations Medal (ST/SGB/119/Rev.1)

Security

- DPKO Policy Manual on the Applicability of the Arrangements of the United Nations Security Management System, 2011
- UN Field Security Handbook: System-wide Arrangements for the Protection of United Nations Personnel and Property in the Field, 2006
- DPKO-DFS/DPA Policy on Field Occupational Safety Risk Management (FOSRM) (Ref. 2012.14)
- DPKO-DFS/DPA Standard Operating Procedure on Field Occupational Safety Incident Reporting (Ref. 2012.16)

Structure and Organization of the Police Component

- DPKO-DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.14)
- DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2008.4, Feb. 2008)
- Directive for Heads of Police Components of Peacekeeping Operations (DPKO/PD/2006/00122), *currently under revision*

- DPKO-DFS Policy (Revised) for Formed Police Units in United Nations Peacekeeping Operations (Ref. 2009.32)

Transition and/or Liquidation Planning

- United Nations Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, 4 Feb. 2013
- DFS Liquidation Manual (Ref. 2012.18)

Use of UN Resources and Vehicles

- Secretary-General's Bulletin - Use of information and communication technology resources and data (ST/SGB/2004/15)
- DPKO-DFS Policy on Access to the Internet and use of Internet services (Ref. 2011.11)

Welfare

- DPKO-DFS Policy Directive on Welfare and Recreation (Ref. 2007.06)
- DPKO-DFS SOP on Welfare and Recreation (Ref. 2006.05)
- DPKO-DFS Medical Support Manual for United Nations Field Missions (3rd Edition), 2015