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Policy

United Nations Police in Peacekeeping Operations and Special Political Missions

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DPKO/DFS POLICY ON
United Nations Police in Peacekeeping Operations and Special Political Missions

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A. PURPOSE

1. This Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (hereafter referred to as 'the Policy') spells out the core functions of United Nations police peacekeeping and the fundamental principles guiding its activities.
2. The Policy is designed to assist police components in furthering the rule of law and the provision of public safety and ensuring the safety and security of police officers deployed by the United Nations. A clearer understanding of what United Nations police peacekeeping entails will allow United Nations police to be more professional in how they design the police components in order to fulfil mandates of missions, how they recruit and train, and how they implement police assignments in international peacekeeping operations and special political missions.
3. By defining core functions and fundamental principles, the Policy shall serve to guide assessment and planning processes and inform other mission components as to how United Nations police are to approach the implementation of their mandated tasks. In the same way, the Policy shall inform Member States on the core responsibilities of the police officers and units they contribute to United Nations peacekeeping operations and special political missions.

B. SCOPE

4. The Policy shall be the umbrella for a hierarchy of guidance materials, give greater cohesion to the growing guidance catalogue and provide the context for future guidance development.

5. This framework policy shall apply to all staff of the United Nations police components in missions led by DPKO, as well as in special political missions (SPMs) led by the Department of Political Affairs (DPA). It shall also apply in potential future roles as mission environments and needs evolve, e.g. deployments in the context of the Global Focal Point for the Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations (GFP).

C. RATIONALE

6. United Nations police peacekeeping has expanded dramatically in scale and scope. Not only has it been the fastest-growing component within United Nations peacekeeping operations, its activities have become increasingly wide-ranging and complex. This expansion was not the result of a strategic assessment or decision to take on certain roles and reject others. United Nations police peacekeeping has moved swiftly from a relatively passive role of monitoring individual host State police officers to supporting the reform and restructuring of whole police organisations. In a few exceptional cases, police mandates have involved substituting for inadequate or otherwise absent host State policing and other law enforcement capacity and shouldering the entire burden of maintaining law and order, whilst establishing host State police. This has been accompanied by calls for greater integration of the wider rule of law and security sector reform which shape the environments in which the United Nations police strive to fulfil their own mandates. Not least, a conceptual framework is essential for any police component if it is to play its part in an integrated approach to conflict prevention and sustainable peacebuilding.

7. The Brahimi Report called for a doctrinal shift towards viewing United Nations police in a wider context of rule of law and for the need to fully integrate the rule of law and human rights into their activities. This was later reiterated in United Nations Secretary-General Reports on rule of law (2004) and on security sector reform (2008 and 2013) as well as in the Secretary-General Decision on Human Rights in Integrated Missions (2005) and Guidance Note on United Nations Approach to Rule of Law Assistance (2008). Other themes that all documents highlight and that remain key considerations for United Nations police today are the national responsibility and ownership of Member States of their own security and justice; the need for integrated and coordinated approaches and partnerships taking into account country and political contexts; the need for better guidance to field missions; and the need to strengthen capacity and quality of personnel. Most recently, these were echoed in DPKO's New Horizon paper (2009).[1]

8. Further, a report by the Office of Internal Oversight Services (OIOS) on the management of United Nations police operations issued in 2008 highlighted the urgent need for DPKO to prepare a '*comprehensive police doctrine to govern all aspects of United Nations police operations*'.[2]

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[1] Report of the Panel on United Nations Peace Operations ("Brahimi Report"), A/55/305-S/2000/809, 21 August 2000, The rule of law and transitional justice in conflict and post-conflict societies, Report of the Secretary-General, S/2004/616, 23 August 2004, Securing peace and development: the role of the United Nations in supporting security sector reform, Report of the Secretary-General, A/62/659-S/2008/39, 23 January 2008, and A New Partnership Agenda: Charting a New Horizon for UN Peacekeeping ("New Horizon").

[2] Audit Report of the Office of Internal Oversight Services on *Assignment no. AP2007/600/01 – Management of UN Police Operations* dated 26 August 2008.

9. The Secretary-General's Decision No. 2012/13 on Rule of Law Arrangements has the potential to significantly expand the scope of United Nations police activities. Potential engagements could now involve post-conflict and other crisis situations in response to requests by Member States communicated through the United Nations senior official in-country. These new potential tasks call for a greater understanding of the United Nations approach to policing and its fundamental principles.

10. The main rationale behind developing a cohesive strategic guidance framework is to enhance the effectiveness of United Nations police peacekeeping through more consistent, harmonised approaches to the provision of public safety, police development and support to host State police services and through a more sophisticated recruitment of staff with the necessary specialised skills and experience. These objectives reflect some of the most persistent challenges that United Nations police peacekeeping has struggled with in the past 50 years, but especially in the last 20 years, including capacity shortfalls, lack of continuity and a resulting inability to fully deliver on mandated tasks.

11. The demand for an overarching strategic framework is based on the realization that United Nations police peacekeeping differs fundamentally from domestic policing. The difference derives from the context of deployment; that is, a post-conflict situation and fragile environment often characterised by widespread human rights violations, in which authority, power and rules for social interaction are fluid. In most countries, officers can take a number of conditions for granted in their domestic policing role: that they have the authority to enforce the law; that they represent the legitimate authority of a state and a clear set of laws; that they understand the culture and speak the language of the communities they serve; and that their police colleagues' training and service are similar to their own. United Nations police cannot presume any of these and instead frequently work in unfamiliar environments and navigate among the policing approaches of colleagues from many different countries and agencies.

12. For these reasons, United Nations police peacekeeping requires a founding document that outlines key parameters. Earlier documents that fulfilled a comparable function were the United Nations Civilian Police Principles and Guidelines (2000), the Handbook on Policing in United Nations Peacekeeping Operations (2005) and the United Nations Criminal Justice Standards for United Nations Police (2009). Since then, significant changes have taken place with the establishment of the Office of Rule of Law and Security Institutions (OROLSI), the creation of the Police Division's Standing Police Capacity (SPC) in 2007, the inauguration of the GFP arrangement (2012), and the emergence of policing roles in special political missions, in addition to the overall expansion of police peacekeeping in the field.

13. This framework policy and subsequent guidance materials will be reflected in relevant training curricula and operational readiness standards for international deployment that promote the implementation of the framework.

D. POLICY

D1. United Nations approach to policing

14. Policing refers to a function of governance responsible for the prevention, detection and investigation of crime; protection of persons and property; and the maintenance of public order and safety. Police and law enforcement officials[3] have the obligation to respect and

[3] Includes police, gendarmerie, customs, immigration and border services, as well as related oversight bodies, such as ministries of the interior or justice.

protect human rights, including the right to life, liberty and security of the person, as guaranteed in the Universal Declaration of Human Rights and reaffirmed in the International Covenant on Civil and Political Rights and other relevant instruments.[4] Pursuant to the UN Code of Conduct for Law Enforcement Officials, police and other law enforcement officials are required, at all times, to fulfil the duty imposed upon them by law, by serving the community and by protecting all persons against illegal acts, consistent with the high degree of responsibility required by their profession.[5]

15. For the United Nations, the function of domestic policing must be entrusted to civil servants who are members of police or other law enforcement agencies of a national, regional or local government, within a legal framework that is based on the rule of law.[6]

16. In accordance with United Nations standards, every police or other law enforcement agency should be representative of and responsive and accountable to the community it serves.[7]

17. Representative policing aims to ensure that the human rights of all people, without distinction of any kind such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status, are protected, promoted and respected and that police personnel sufficiently reflect the community they serve. Fair and non-discriminatory recruitment and retention policies are expected to encourage, among other goals, an adequate participation of women and minority groups.

18. Responsive policing ensures that police respond to existing and emerging public needs and expectations, especially in preventing and detecting crime and maintaining public order and safety. Policing objectives are informed by the public safety concerns of the communities they serve and are attained lawfully, efficiently and effectively and in accordance with international norms and standards in crime prevention, criminal justice and human rights law.

19. Accountable policing means that police are accountable to the law, as are all individuals and institutions in States; that police are answerable to the public through the democratic and political institutions of the state, as well as through civilian democratic oversight bodies and mechanisms to improve community-police relations; that police are accountable for the way they use the resources allocated to them and that effective mechanisms are established for accountability over police conduct, including any allegations or established human rights violations committed by the police.

D2. Mission statement

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[4] *Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990).*

[5] *Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169), Article 1.*

[6] "*For the United Nations, the rule of law refers to a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.*" Report of the Secretary-General on the Rule of Law and Transitional Justice in Conflict and Post-Conflict Societies (S/2004/616).

[7] *General Assembly resolution 34/169 of 17 December 1979.*

20. The mission of the United Nations police is to enhance international peace and security by supporting Member States in conflict, post-conflict and other crisis situations in their quest to realize the ideal of an effective, efficient, representative, responsive and accountable police service of the highest professional standard possible. To this end, the United Nations police build or, in peacekeeping operations with an executive mandate, substitute for host State police capacity to prevent and detect crime, protect life and property, and maintain public order and safety.

21. A United Nations police officer must reflect the values of integrity, professionalism and respect for diversity of the United Nations in both his/her professional as well as their personal life and perform his/her duties diligently, impartially and with dignity, in a way that upholds and advances human rights norms, standards and practices.

D3. Composition of United Nations police

22. The United Nations police consists of police components deployed as part of a peace operation as well as headquarters staff in the United Nations Police Division. United Nations police components consist of individual police officers (IPOs), both contracted and seconded, specialised police teams (SPTs), and formed police units (FPUs)[8], who all serve as "experts on mission". United Nations police components are led by a Head of Police Component (HOPC): ordinarily a Police Commissioner in peacekeeping operations and a Senior Police Adviser in special political missions.

23. The Police Adviser to the Department of Peacekeeping Operations and Director of the Police Division, supported by headquarters staff in the United Nations Police Division (including the Standing Police Capacity), is responsible for providing advice and support on all policing issues to the Department of Peacekeeping Operations and the Department of Field Support and to heads of police components of operations led by the Department of Peacekeeping Operations and missions led by the Department of Political Affairs with police advisory functions. She/he also provides strategic direction and oversight of policing issues in all United Nations peacekeeping operations and special political missions.

D4. Comparative advantages

24. Understanding the added value of United Nations police in peacekeeping operations and special political missions and their critical role is essential to gauging which tasks should be assigned to United Nations police. This is also critical in order to prioritise and sequence activities when time or resources are limited.

25. At the same time, a realistic assessment of preconditions necessary for effective delivery on mandated tasks is critical in order to either exclude activities that United Nations police will have difficulty undertaking successfully or to signal the need for additional resources.

26. Perhaps the greatest comparative advantage of United Nations policing is that it provides international legitimacy to police development efforts. Through their independence,

[8] For more details on the composition , core tasks and standards of FPUs, see DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations (01 March 2010).

impartiality, commitment to United Nations values and compliance with international human rights, United Nations police help create strong positive expectations of host State police, foster popular confidence in the police, and engender legitimacy in the eyes of local populations. In order to do this, United Nations police must act in accordance with the highest international standards and be held accountable for any misconduct. The multinational nature of United Nations policing indicates that it represents the world community of states rather than the interests of any one nation. While this wealth of experience enriches United Nations police components, it has also been a persistent challenge for the cohesion and continuity of effort, especially in relation to translating standards, rules, and good practice into coherent action through profound and systematic pre- and in-mission training.

27. United Nations police also benefit from being part of a wider mission. It gives the United Nations police access to political leverage and complementary expertise in other mission components, such as civil affairs, human rights and military peacekeeping elements. In recent years, the fact that United Nations police make up a part of a wider security system or justice reform effort has also been an advantage, in that a mission has been able to approach the rule of law in a more coordinated and comprehensive manner. The GFP arrangement is expected to further enhance the coherence and coordination in the delivery of the criminal justice sector assistance.

28. United Nations police, compared to other rule of law components and other agencies, funds and programmes, can cohesively deploy in significant numbers. Moreover, with the establishment of the Police Division's Standing Police Capacity (SPC), the United Nations police have an enhanced capacity for rapid deployment. While United Nations police components may still not be completely staffed at an early stage of the mission start-up, their headquarters and initial operational capacities can be quickly established.

29. Depending on the size and configuration of a United Nations police component, the United Nations police can also offer confidence and reassurance by their presence and patrolling, on their own and jointly with host State police. In this way, the United Nations police can expand the geographical reach of missions and create enabling environments for the work of other mission components. By instilling a sense of security, the United Nations police can contribute to creating an environment for the host State to begin reasserting its sovereign authority and re-establishing ties to local communities. Similarly, United Nations police can provide logistical support that extends the geographical reach of host State police services, for example, in the areas of transport and communications, and further strengthens community confidence and security.

D5. Fundamental principles

30. The delineation of core United Nations police functions in peacekeeping operations and special political missions and the identification of operational tasks shall be guided by the following fundamental principles.

31. ***United Nations police shall promote, protect and respect human rights.*** Promotion, protection and respect for human rights must be incorporated into every aspect of the work of United Nations police as per the joint OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions (2011). Not only shall the United Nations police officers promote, protect and respect human rights in the exercise of their duties but they must also be role models to their host State counterparts and be prepared to raise issues of human rights if confronted with violations.

They must always behave in a principled and accountable manner in accordance with the international human rights standards. United Nations police must fully adhere to and enforce the Secretary-General's zero-tolerance policy on Sexual Exploitation and Abuse (SEA)[9]. These standards must also be incorporated into how, and on what basis, United Nations police provide advice to host State police, shall be central to evaluations of United Nations police's effectiveness in support to host State police and other law enforcement agencies and shall be included in the competencies required for the selection of United Nations police personnel. The United Nations shall neither select nor deploy any individual who has been involved in violations of international human rights or humanitarian law.

32. ***United Nations police shall provide support that is gender-responsive and pays particular attention to the needs of vulnerable groups.*** United Nations police shall pay special attention to gender and other group-specific considerations, especially those of vulnerable and marginalised groups (e.g. children, national or ethnic, religious and linguistic minorities, or displaced populations), when defining and implementing support activities and when identifying security needs. United Nations police shall incorporate gender considerations into key aspects of United Nations police operations such as planning, management, budgeting and capacity development programmes. It shall promote non-discriminatory and adequate representation of qualified women in host State police and work to ensure that women in the host State police are provided equal capacity and career development opportunities. United Nations Police shall prioritize supporting the host State in the prevention, investigation and prosecution of sexual and gender-based violence (SGBV), prevent any and all forms of sexual exploitation and abuse and supporting the specific needs and protection of victims and survivors of SGBV.

33. ***United Nations police shall oppose corruption in all its forms.*** United Nations police shall not engage or assist in any act, or attempted act, of corruption. They shall also vigorously oppose and combat all such acts or attempted acts. If a United Nations police officer develops a reasonable suspicion that acts or attempted acts of corruption have occurred or may occur – either involving United Nations personnel or contractors, or the host State police or other law enforcement or governmental agencies – she/he shall immediately report to the suspicions to her/his supervisor in the mission. She/he may also report possible misconduct to the 24-hour confidential hotline operated by the Investigations Division within the United Nation Office of Internal Oversight (OIOS) and/or the confidential helpline of the United Nations Ethics Office.[10]

34. ***United Nations police shall make every effort to operate in an environmentally conscious manner.*** United Nations police shall minimise its environmental impacts in its deployment areas to ensure good relations with the local community as well as the United Nations' reputation. For instance, in water-scarce areas, attention shall be paid to using water in accordance with local needs so that the United Nations is not perceived as a potential resource competitor. Waste and wastewater management as per the United Nations standards shall be implemented. United Nations police officers shall adopt an appropriate behaviour around cultural, religious and historical sites of importance to the host State population.

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[9] In accordance with the principles of the UN GA resolution on "Criminal accountability of United Nations officials and experts on mission."

[10] OIOS Hotline: +1-212-963-1111/ +254-20-762-1222/ +43-1-26060-5050; Ethics Office Helpline: +1-917-367-9858.

35. ***United Nations police shall always conduct a thorough and standardised assessment[11] of the host State situation as a basis for mandate implementation.*** Planning implementation of mission mandates and the choice of relevant core functions and operational activities shall in every circumstance be based on an assessment of existing host State capacities and resources, including their absorption capacity; current and future security; policing and protection needs; relevant stakeholders (including non-state); the human rights record of the host State police; political context; and a strong understanding of the extent to which the population trusts the host State police as a legitimate entity of the state. The ability of United Nations police to work effectively in such delicate situations is dependent on their understanding of the cultural, social and political contexts of the mission.

36. ***In the planning process, United Nations police shall engage with partners in the United Nations system and Member States in an effort to assist in making mandates as clear, credible and achievable as possible.***[12] United Nations police shall provide the Security Council with a realistic assessment of existing capacities and resources as well as on – sustainable and culturally appropriate – good practice in an effort to ensure clear, credible and achievable mandates. United Nations police shall work with Member States to secure the necessary human, financial and logistical resources. In an effort to arrive at a common understanding of what this entails in a given mission, United Nations police shall closely cooperate and consult other parts of the United Nations Secretariat, Member States and other partners as required under the Policy on Integrated Assessment and Planning.

37. ***United Nations police core functions shall be implemented within a wider rule of law and security sector reform context.*** United Nations police have been an established component of peacekeeping operations since 1960. For the last 10 to 15 years, the importance of police has been linked to the other components of the security and justice system, as well as their oversight and governance bodies. Experience has shown that police development may have limited or even counter-productive effects, i.e. increased prison overcrowding, unless coupled with strengthening and reform work in other parts of the criminal justice chain, with civil society engagement and wider efforts to solidify the rule of law.[13]

38. ***United Nations police shall make every effort to identify and recruit the specialised capacities to fulfil mandates.*** United Nations police components can only deliver specialised assistance or advice if specialised personnel, police officers or other experts can be recruited and assigned to commensurate tasks. This is especially true when it comes to police capacity-building and development, which require, among others, expertise on: budgets/procurement, administration, change and reform management, legal affairs or resource mobilisation. Support shall also be sought from other (non-police) civilian experts in relevant areas. Proficiency in a mission area language(s) shall be an important consideration in the selection, recruitment and deployment of the United Nations police.

39. ***United Nations police shall ensure that planned support to capacity development is demand-driven and appropriate in relation to host State needs.*** As host State

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[11] In conducting assessments, monitoring and evaluation, United Nations police may take advantage of UNODC's Criminal Justice Assessment Toolkit (2006), OECD's DAC Handbook on Security System Reform (SSR): Supporting. Security and Justice (2007) and United Nations Rule of Law Indicators (2011).

[12] The phrase "clear, credible and achievable mandates" originated in the Brahimi Report.

[13] Good or bad? Examples such as Haiti, Kosovo or Bosnia-Herzegovina abound, but this is also stressed in *'The rule of law and transitional justice in conflict and post-conflict societies'*, Report of the Secretary-General, S/2004/616 (23 August 2004).

police and other law enforcement agencies can be functional to varying degrees and in varying ways, the capacity that is being established or developed shall be in line with the needs and existing host State police service structures and related institutional arrangements rather than determined by what can be supplied through international assistance. United Nations Police shall not replicate external policing structures and components, such as formed police units, without regard to their actual suitability in host State circumstances.

40. ***United Nations police shall recognise the political context of their work.*** Reestablishing or restoring policing and other law enforcement is fundamentally political, as it involves shifting power and access over key institutions of the state. Control over police enhances power and influence, for those both outside and within the police organisation. This can limit United Nations police reform efforts and affect how United Nations police approach the implementation of mandated tasks. But this also underlines how United Nations police benefit from close collaboration with other mission components, such as civil and political affairs or human rights, notably through joint strategies and advocacy to rally national support over police reform processes. Thus, heads of police components shall advise the senior leadership on political requirements, and receive political guidance and necessary support in order to implement their mandates fully.

41. ***United Nations police shall respect host State ownership and seek broad buy-in.*** Efforts shall begin as early as possible to engage the host State political authorities, police and other law enforcement agencies, and civil society in the host state in identifying approaches, entry points and priorities for United Nations support. National ownership has been fully adopted by the United Nations as a principle, but it is also a practical necessity and a key factor in any transition strategy. Ongoing support will only be effective and police development will only be sustainable if they are anchored in host State needs, sensibilities, resources and priorities. While "ownership" is complex and United Nations police may not be able to satisfy all competing views on the way forward, United Nations police must secure buy-in from key stakeholders to succeed and formalise it in a binding document.

42. ***United Nations police shall seek political commitment from host State authorities.*** Based on the above assessment and on consultations with a wide group of host State stakeholders, United Nations police shall foster political commitment at a strategic level for the development of host State police and other law enforcement agencies. This could mean a compact between the United Nations police and the host State authorities to outline a long-term plan and matching strategy for public safety and police development. Early engagement is necessary for fostering national ownership and for laying a foundation of political support for the police development process. Where possible, these efforts shall be led by host State authorities, but where relevant expertise is available within the United Nations police component, United Nations police shall provide professional advice on the development of such national strategies.

43. ***United Nations police shall plan activities with a focus on sustainability from the outset.*** Activities within the core functions shall only be taken on when they can be sustained for the necessary period of time or handed over to partners – host State or international – in an effective and orderly manner. As required under the Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, transition planning shall begin in the early stages of the mission lifecycle and should be continuously reviewed, linking benchmarking and evaluations of progress to a transition strategy.

44. ***United Nations police shall evaluate delivery on mandated tasks regularly.*** In addition to existing reporting and evaluation requirements, it also entails a continuous

emphasis on the need to gather relevant baseline data and information in order to evaluate progress towards the fulfilment of long-term objectives for public safety and police development. The data and information gathering process and standards development should be built in to the UN police component from the outset of mission planning. At least some or parts of these mechanisms shall consist of joint evaluations with host State police colleagues and other host State authorities as well as international partners. Benchmarking and evaluation require an understanding of the strategic objectives of police development and need to be flexible enough to allow for evolving circumstances and to take advantage of opportunities as they emerge. Evaluations shall be conducted in accordance with the DPKO/DFS Mission Evaluation Policy and DPKO/DFS Policy on Internal evaluations and inspections of United Nations Police.

45. ***United Nations police shall cultivate partnerships.*** United Nations police shall seek opportunities to enable or catalyse their own efforts through the assistance of and co-operation with partners. Partners include United Nations agencies, funds and programmes, other international and regional organisations, non-governmental organisations, bilateral partners and 'groups of friends.' The United Nations police shall consider the added value, comparative access to resources and linkages to host State actors when forging such partnerships. United Nations police managers shall seek partnerships where they are productive and in line with host country priorities and establish formalized collaborative mechanisms to move their agendas forward. Partnerships to coordinate transition and exit strategies shall be extremely clear about roles and responsibilities.

46. In line with the above principles, the United Nations police shall base their mandate implementation on a comprehensive strategic plan that results from a joint vision with host State authorities, is developed in collaboration with them and is subject to a joint evaluation in partnership.

D6. Key elements of a police peacekeeping operation

47. Command; Operations; Administration; and Capacity-Building & Development are the four key elements upon which any police peacekeeping operation shall be built. Annex 1 contains a non-exhaustive list of typical subsidiary functions to be undertaken by a police peacekeeping operation within the four key functional areas identified.

48. Command is an element ensuring overall accountability, providing strategic planning and vision and engaging in monitoring and evaluation. Other aspects of the Command function include project management and oversight, gender and environmental mainstreaming, human rights integration into planning and operations, public affairs and outreach, community engagement and international police co-operation.

49. The Operations element is responsible for assisting the host State police in fulfilling core policing and other law enforcement tasks, including the areas of public safety, investigations and the conduct of special operations. In peacekeeping operations with an executive mandate, United Nations police themselves perform these functions. An overarching approach to many operational tasks is that of community-oriented and intelligence-led policing.

50. The Capacity-Building & Development element's objective is to assist host State police service and other national counterparts in achieving their institutional and professional goals in a measurable and sustained manner and in an enabling environment. Capacity-Building & Development efforts focus on the support to five key areas; namely, support to

policing services, support to enabling services, support to policy formulation on policing, support to accountability and governance, and support to stakeholder engagement. United Nations police experience suggests that capacity-building and development tasks are achieved in the best way when the structure of United Nations police's Capacity-Building & Development element mirrors appropriately designed structure of the host State police.

51. A solid, effective and efficient Administration is a critical success factor in any police peacekeeping mission. It creates an enabling environment for all other activities of the police peacekeeping mission. While a number of key administrative tasks are performed by other mission components (logistics, procurement, finance), United Nations police components shall designate a liaison officer or focal point for each of these areas for the articulation and conveyance of the component needs to relevant parts of the mission. Other subsidiary administrative functions include information and communications technology and records management, conduct and discipline, human resources management, staff welfare, induction and training (for internal purposes).

52. All of these four elements shall be undertaken with a view towards maximizing the comparative advantages of strategic international partners such as the International Criminal Police Organization (INTERPOL) and regional partners such as the African Union and the European Union, as well as with other sub-regional organizations dedicated to international peace and security, including the Association of Southeast Asian Nations, Collective Security Treaty Organization and the Organization for Security and Co-operation in Europe. When appropriate, United Nations police shall engage with these partners in the design, planning and implementation of capacity-building initiatives.

D7. Core functions and operational activities

53. United Nations police have two core functions:

    a. **Operational support/interim executive policing and other law enforcement:** Operational support for and – when mandated – delivery of effective prevention, detection and investigation of crime, protection of life and property, and the maintenance of public order; and

    b. **Support for the reform, restructuring and rebuilding of host State police:** Support for the development of effective host State police capacity to provide representative, responsive and accountable police service of the highest possible professional standard.

    Both functions shall be pursued in accordance with international humanitarian law and human rights law, United Nations standards and norms in crime prevention and criminal justice, and shall be rooted in the principle that, in the first instance, host State police are primarily responsible for public safety and crime prevention.

54. In addition, police components may be called upon to support related mission mandates, including but not limited to provisions on protecting and promoting human rights, especially those of vulnerable groups; promoting the rule of law, fostering good governance, transparency and accountability; and protecting civilians (especially women and children), to which UN Police will be expected to contribute through its operations.

55. When devising how to translate core functions into operational activities, United Nations police shall balance short-term and long-term measures. While long-term efforts in the areas of public safety and police development bring benefits over time, other measures can be undertaken early to prepare the foundation for successful reform. Short-term

measures that produce *quick impacts* are critical in demonstrating tangible improvements to the population. In the initial phase of the mission, police components shall therefore proactively seek funding for immediate stabilization priorities through the Quick Impact Projects scheme.[14] Whenever short-term projects are implemented, a longer time horizon must always be borne in mind in order to produce sustainable results.

56. Moreover, from the onset, United Nations Police shall apply the Human Rights Due Diligence Policy on United Nations Support to non-UN Security Forces, which requires assessing risks that police services receiving support from the United Nations police may commit grave human rights violations, identifying mitigating measures and monitoring behaviour if support is provided, and interceding with support recipients if grave violations are committed.

57. The remainder of this section subdivides and translates core functions into United Nations police activities.

Interim executive policing and law enforcement

58. In appropriately mandated situations – particularly in those contexts where functioning rule of law institutions are absent – the United Nations police may support public order and public safety by assuming an interim policing and other law enforcement role. In these situations, the United Nations police shall be responsible for maintaining law and order across the full spectrum of policing and law enforcement activities or other designated areas. Executive mandates of this type place high demands on the quality and availability of personnel and require the establishment of effective accountability mechanisms over allegations of human rights violations. The success of interim law enforcement operations depends heavily on the functioning of courts, prison and legal systems and requires similar executive mandates in these areas. The United Nations police with an interim executive mandate shall immediately assist in the establishment and development of domestic policing and make this a priority from the outset.

59. Unless United Nations police have an executive mandate and are responsible for law enforcement, they do not have powers of arrest. In cases where United Nations police have to detain a suspect, they must follow the procedures set out in the interim Standard Operating Procedures on Detention in United Nations Peace Operations (2010). The guiding principle for detention is that detainees "shall be released or handed over to national law enforcement officials of the host State or other relevant authorities as soon as possible" normally within a delay of 48 hours.[15]

60. When appropriate, United Nations police shall seek to multiply the public effects of high-visibility policing operations by jointly conducting activities between FPUs, individual United Nations police officers and host State police. Patrolling can be preventive in nature with the objective of building public confidence while allowing United Nations police to familiarise themselves with local surroundings and gather information.

61. In order to begin the process of strengthening national ownership, United Nations police shall provide operational support wherever there are remnants of functional host State police organisations rather than displacing local capacity with United Nations capacity.

62. When mandated, the United Nations police shall assist the work of international criminal tribunals or courts.

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[14] DPKO/DFS Policy Quick Impact Projects (QIPs) (2012.21).

[15] DPKO/DFS iSOP on Detention in United Nations Peace Operations (25 January 2010).

Establishing basic building blocks for public safety

63. As reflected in Track 1 of the DPKO/DFS strategy for early peacebuilding[16], perhaps the most crucial role that United Nations police shall play from the earliest deployment is in assisting the delivery of basic public safety and, in many cases, the initial establishment of host State police. United Nations police shall begin working with host State colleagues to (1) improve basic safety and extend state authority; (2) monitor conduct; (3) gather information (census, vetting, registration and certification, as well as an inventory of the police infrastructure); and (4) (re-)introduce basic policing procedures.

64. A key aim from the outset shall be to strengthen and/or (re-)establish relations between the police and the community and to deliver early peace dividends. These can veer into the realm of capacity-building and represent early steps in the police development process.

65. As necessary and mandated, United Nations police shall begin census, vetting, registration and certification early on in order to scope existing capacity and clarify the status and composition of host State police and other law enforcement agencies. This may also include working with host State police to establish the criteria and procedures for selection and recruitment, introducing integrity and anti-corruption safeguards. These are steps that precede and set the stage for capacity-building.

Public order management

66. The primary role of Formed Police Units (FPUs) is public order management. These tasks will in most cases be conducted in support of host State police. FPUs can, however, be called upon to act independently in accordance with mission mandates using authorities allocated therein. The primary focus of public order management is to facilitate the population's exercise of fundamental rights without disturbance or unjustified hindrance and to reconcile the right to peaceful assembly with the requirement to prevent grave harm to public safety. This is the key competence of FPUs and shall be applied within strict human rights legal frameworks using force only when strictly necessary and to the extent required for the performance of their duty, keeping in mind the principles of proportionality and the necessity for continuous dialogue and negotiation with all parties. Execution of public order management tasks require sound planning based on threat assessments, dialogue with stakeholders (such as host State authorities and, wherever possible, representatives of involved or affected citizens groups) and the establishment of a clear chain of command leading to a senior United Nations police officer.[17]

Protection of civilians

67. Protection of civilians is a mandated task that requires concerted action from all mission components, including the United Nations police. While protection is a core element of the concept of international policing, in a mission context it requires the police component to closely align its efforts with the mission's overall protection of civilians

[16] The Contribution of UN Peacekeeping to Early Peacebuilding: A DPKO-DFS Strategy for Peacekeepers.
[17] DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations (01 March 2010).

strategy. In missions with an executive mandate, United Nations police shall be directly responsible for physical protection of civilians against imminent threats, e.g. through force projection and/or high visibility and increased patrolling.[18] More often, it shall involve operational support to protection of civilians under imminent threats of physical violence provided by host State police, such as advice on planning and conducting operations and investigations into incidents or training host State police to perform key protection functions, such as providing security in camps for internally displaced persons. In the medium to long term, United Nations police shall focus on preventive measures, especially strengthening relations between communities and the host State police in order to improve early warning and rapid response. Capacity-building of the host State police can also contribute to the protection of civilians mandate where there is direct link to promoting protection from physical violence, such as training host State police units in preventing sexual violence. In addition to working closely with host State police, protection of civilians requires particularly close co-ordination between the police, military and other components.

Protection of United Nations personnel and facilities

68. FPUs shall provide protection for armed and unarmed United Nations police and other civilian mission personnel, as well as facilities and equipment. This can include protection of convoys, relocation or evacuation of staff, and intervention where necessary for the protection of staff and in accordance with FPU capabilities. They may be involved in providing protection to military personnel (military observer team sites) or military units, particularly enabling units, which may have response capabilities below those of FPUs. Specific protection tasks for United Nations personnel and facilities shall be defined in each mission in accordance with the crisis management arrangements set out in the DPKO/DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations.

Providing technical and operational support to host State police

69. United Nations police can make a central contribution to the provision of public order and public safety short of full law enforcement powers. United Nations police frequently have an operational support role where they provide both direct and indirect support to host State police in the performance of law enforcement duties. This support is provided across the full spectrum of policing tasks, from the development of operational plans, patrolling and public order management, to advice and mentoring on reporting, the conduct of investigations, community-oriented policing and traffic policing and must be fully consistent with the Human Rights Due Diligence Policy and the obligations to report any misconduct or act of corruption are again highly relevant.

Supporting the provision of security to electoral processes

[18] See DPKO/DFS Operational Concept on the Protection of Civilians in United Nations Peacekeeping Operations for a more detailed description of the United Nations police activities aimed at the protection of civilians.

70. Support to host State authorities in organising national and local elections is a recurring responsibility of United Nations peacekeeping operations and special political missions. United Nations police components are commonly tasked to assist host State police and other law enforcement agencies in providing security for electoral processes, particularly with respect to human rights. In addition to United Nations police, this type of activity also includes the United Nations electoral component, military peacekeepers, human rights and civil affairs. As the United Nations electoral component in a mission has the lead role in all United Nations electoral support activities, the activities of United Nations police shall be planned and carried out in close cooperation with it as part of a mission-wide support strategy.

71. United Nations police shall support the provision of security in electoral processes by establishing co-ordination mechanisms, conducting risk assessments, drafting security plans, developing codes of conduct, training host State police, contributing to pre-election security, assisting with the protection of electoral materials and polling stations, supporting monitoring and investigation of incidents of voter intimidation or other human rights violations, in close coordination with the human rights component.

Support against serious and organised crime

72. Serious and organised crime, especially in its transnational form, is a major obstacle to reducing conflict and fostering sustainable peace, security and development. In conflict and post-conflict environments it flourishes because of a breakdown of police and other elements of the criminal justice system. Often coupled with widespread corruption, organised crime may work hand-in-hand with the spoilers of peace and terrorists. Addressing organized crime and strengthening the rule of law have taken on greater importance in most peacekeeping operations and special political missions and is an important entry point for engaging with national authorities to take action. Performing complex policing tasks of this nature requires specialized expertise, international and regional cooperation and support by specialists from Member States and others. In partnership with United Nations Office on Drugs and Crime (UNODC), UNDP, INTERPOL and other relevant actors, United Nations police shall support the planning and implementation of host State and regional operational and analytical capacity-building activities as well as the use of existing international policing tools and services such as those provided by INTERPOL. At the request of the host State, United Nations police, in close co-operation with UNODC, shall assist the authorities in producing national serious and organized crime threat assessments. Further measures can include anti-corruption initiatives; assessments and engagement with the public for enhanced responsiveness; and the establishment of effective planning and management mechanisms to strengthen the capacity of the criminal justice system – including the judiciary, the prosecution and law enforcement.[19]

Capacity-building and development

[19] Taken from UN, "Security Sector Reform Integrated Technical Guidance Notes", 110 (2012), available at http://unssr.unlb.org/Resources/UNandSSRGuidance/PolicyandGuidance/tabid/201/SMID/498/ItemId/103/Default.aspx.

73. Capacity-building comprises efforts to strengthen the aptitudes, resources, relationships and facilitating conditions necessary to act effectively to achieve an intended purpose.[20] These efforts – which may involve creating a police service where none exists – shall target individuals, institutions and the environment in which they operate. In that way, institution-building is one, albeit essential, part of capacity-building. Building the capacity and skills of individual host State police officers shall occur in tandem with cultivating and strengthening the institution in which they serve. Capacity development shall be driven from the inside and shall start from existing national capacity assets. It may entail the reform or restructuring of existing institutions and policing arrangements. Additional activities that make up capacity-building and development are described below.

74. Engagements in capacity-building shall be based on a strategic plan covering individual personnel, organisational units and the broader institution. This plan shall define clear strategic objectives and suggest the sequencing of development measures, timelines and explanations of how different measures contribute to the achievement of defined strategic objectives. While not all capacity-building needs can be foreseen, there should be an understanding of the structure of policing arrangements, budget, policing philosophy and similar fundamental issues. At a strategic level, this should be linked to the initial and inclusive process of developing a compact and vision for the host State police in consultation with host State authorities and diverse stakeholders and may then or at a later stage result in a national security or rule of law strategy.

75. All capacity-building activities shall be subject to a regular, systematic and objective monitoring and evaluation to determine relevance, efficiency, effectiveness, impact, and/or sustainability of United Nations police capacity-building efforts

76. When mandated by the Security Council and at the request of the host State police, United Nations police shall co-locate with their national counterparts. Co-location enhances the ability of the United Nations police officers to deliver training, mentoring, advising and transfer of knowledge. Co-location shall also assist the United Nations police in building a relationship of trust and confidence with their host State counterparts and facilitate communication. Any decision on the co-location shall be take on the basis of a feasibility study, assessing the capacity of the host State institutions, security situation and risks enumerated in the Secretary-General's Human Rights Due Diligence Policy.

Providing material support

77. The development of a material infrastructure for a police service is a necessary first step in capacity-building and an opportunity to demonstrate tangible results. This includes ensuring appropriate information and communications systems, office equipment, facilities and other equipment necessary for the execution of policing duties, such as uniforms, less-lethal public order management equipment, firearms, vehicles or protective gear. The United Nations police role shall advise on the appropriateness of equipment and coordinate or facilitate the delivery of assistance to host State police in partnership with United Nations agencies, funds and programmes as well as bilateral and multilateral donors. The provision of material support shall take place in parallel with efforts to build the host State police capacity to plan, prioritize, order, record keep, distribute or maintain their existing and newly acquired equipment. Key partners will

[20] Taken from Brinkerhoff, D.W. "Developing Capacity in Fragile States," *Public Administration and Development*, 30, 66-78 (2010).

include the United Nations Office for Project Services (UNOPS) and the United Nations Development Programme (UNDP), as well as bilateral partners.

Training

78. Training is a key instrument of developing sustainable police and other law enforcement agencies. United Nations police shall identify quality learning programs that benefit the individual as well as the organization. Through Performance Gap Analysis and Training Needs Assessment a comprehensive training plan shall be developed. Such plan shall include foundation, proficiency and managerial learning programme in a prioritized manner. United Nations police shall seek a co-ordinating role within the international community in providing training support to the host State police and other law enforcement agencies.

79. Wherever possible and advisable, United Nations police shall begin supporting establishment or strengthening of host State police academies or training centres early to enhance foundation, proficiency and managerial training and to harmonize policing practices. United Nations police shall assist in the development of basic curricula where they do not already exist or review existing training materials and training arrangements.

80. Education and standardised training for the host State police service can include a number of areas, such as anti-corruption and integrity, managerial and problem-solving skills, prevention and investigation of sexual and gender-based violence, legal issues, community-oriented policing, traffic management, basic criminal investigations, basic criminal intelligence, operational policing skills and disciplinary investigations, for example. United Nations police officers shall have proven insight into the subjects and be familiar with contemporary training methodologies and technologies applied during education and standardized training. They will also ensure, in cooperation with human rights components, that human rights are mainstreamed throughout the whole training curriculum so that trainees see their concrete and operational application in the various subject areas. In order to deliver training effectively, sufficient infrastructure together with logistical and financial support shall be made available. With the adequate methodology, United Nations police shall evaluate and assess whether the implementation of the training programme has an impact on police-related tasks and act accordingly.

81. For training host State police units for public order management, teams of individual training experts shall be attached to the capacity-building programmes of the United Nations police component rather than assuming the existence of training expertise in United Nations FPUs. However, if they do have dedicated training capabilities and if the mandate and security situation allow, FPUs can support capacity-building by being available for joint exercises with host State police units.

82. As soon as it is feasible, United Nations police shall consider developing the capacity of senior and mid-level management in the host State police service for strategic planning, management and administration, assuming they have the relevant specialised training or mentoring capacity and are experienced managers. This could be done by either police officers or civilians, as developing capacity in these areas may require specific expertise. Alternatively, United Nations police can partner with relevant agencies that have staff with specialised skills in this area.

83. In addition to the administrative management capacity, the host State police need to be able to conduct strategic planning based on a sound assessment of threats and crime trends and to be able to analyse organisational structures and propose necessary

adjustments in accordance with security and crime assessments and with available and projected funds.

Monitoring, advising and mentoring

84. Monitoring, advising and mentoring (MAM) are key tools in capacity-building and the wider police development process. The ultimate goal is a transition to full ownership and autonomy of host State police and law enforcement agencies. This will only be possible when capacity has been established and consolidated through sustained mentoring, advising and monitoring. MAM is a key tool United Nations police have to anchor police development in national ownership.

85. Monitoring is straightforward as it comprises regular observation of and reporting on an activity or area related to mandated or implied tasks within a United Nations peace operation. Monitoring can focus on police conduct, police operations, police effectiveness or service delivery, police movements and police investigations, and other high-profile cases. Monitoring can also focus on compliance with human rights, including into incidents of sexual and gender-based violence. In this case, UN Police will have a supportive role of the mission human rights component, which leads on human rights monitoring and investigations. Monitoring shall include recommendations to the host State authorities on how to build on achievements and address shortcomings in their police and other law enforcement agencies.

86. Mentoring and advising[21] are essential tools for consolidating training and are entirely dependent on the credibility of the mentor or adviser, as well as on his/her ability to communicate with host State police colleagues. An understanding of the overall aims and how to achieve them are essential for effective mentoring and advice. Mentoring may assist the individual with practical information and skills in their specialty, provide access and enhance compliance with UN international standards, provide introductions to national and international colleagues, assist in defining career progress and developing professionalism and promote skills in problem analysis and solution and in risk and reward assessment. The selection of a mentor and a mentee shall be given careful consideration. United Nations police shall depart from a wholesale approach to mentoring and shall deploy a limited number of high-skilled and qualified mentors, targeting specific key counterparts.

Developing the organisational infrastructure and management system in host State police

87. In addition to enhancing the capacity of individual staff members, United Nations police shall remain cognizant of the need to strengthen or build police institutions which consist of material and organisational infrastructure, overlain by management systems, rules and procedures, strategic vision and oversight mechanisms. In order to maximize impact of reform efforts, support should be provided for building local managerial skills and institutionalization of change management.

[21] Useful guidance on mentoring and advising is contained in 'Mentoring and Advising Training' developed by DPKO's Integrated Training Service.

88. United Nations police shall assist host State police in establishing basic elements of their organisational structure, such as an effective rank and salary structure and promotion system. As capacity in host State police is often limited, emphasis shall be placed on identifying and putting in place effective leadership. Arrangements shall be established for developing talent across all ranks to promote sustainable police development.

89. The administrative systems of police institutions, including budget management, procurement, record-keeping and personnel management, are essential to effective and efficient performance. Institution-building shall focus on strengthening the administrative capacity of host State police. This can be done using elements of other United Nations components or working with external partners.

90. In many aspects of institutional development, United Nations police components have limited access to funds. They shall therefore seek partnerships with bilateral and multilateral donors.

Strengthening governance, accountability and integrity

91. United Nations police shall strive to ensure that capacity-building goes beyond skills transfer and enhances the integrity and legitimacy of host State police services. A critical part of institution-building is the review or establishment of governance, accountability and integrity procedures for both the internal and external management of police. United Nations police shall pay attention at an early stage to those aspects of institution-building that can serve to strengthen the integrity of host State police institutions by enhancing their capacity to be held accountable for the performance of their duties including when they commit human rights violations. This can include supporting national efforts to develop codes of conduct and improving internal and external accountability and oversight, revising incentive structures, providing human rights training, conducting vetting, ensuring gender and minority representation, ensuring a good environmental management, and promoting financial accountability and anti-corruption safeguards.

92. Security governance and oversight are critical to preventing political interference in operational police matters. United Nations police shall ensure that any efforts to reform or build capacity at the Ministerial level are pursued within a wider context of security sector reform and in conjunction with relevant partners.

D8. Police-military cooperation

93. Military components are an important partner for the police in peacekeeping operations when it comes to establishing and maintaining a safe and secure environment, including the protection of civilians.

94. There are important limits to this cooperation, particularly because police need to maintain a civilian profile distinct from the military to help maintain the moral authority and public trust needed for effective policing. The ability to maintain separate profiles while establishing interoperability and strong functional relationships between police officers and military peacekeepers is a difficult balance but is critical to the success of policing in peacekeeping operations.[22]

[22] Handbook on UN Multidimensional Peacekeeping Operations, December 2003, pp. 92-93.

95. Although United Nations police may contribute to public order management or the physical protection of civilians from imminent physical threats, there are clear limits to the robustness of United Nations police peacekeeping. Where threats exceed these limits or become threats of a military nature, United Nations police shall hand over responsibility to United Nations military peacekeeping forces, using a predefined disengagement concept.[23]

96. Mission-specific guidance shall be developed that outlines modalities of cooperation and clear circumstances that indicate when transitions of responsibility take place. These shall be developed in the planning phases for each mission and approved jointly by the Head of the Military Component (HOMC) and Head of Police Component (HOPC). Joint training and exercises shall take place on a regular basis.

97. United Nations police shall draw upon and provide support to key mission assets, such as the Joint Mission Analysis Centres (JMAC) and the Joint Operations Centre (JOC), especially when cooperating with the military component of a mission[24].

D9. Human rights in the work of United Nations police

98. Respecting, protecting and promoting human rights is central to the work of the United Nations police component. Heads of police components shall ensure that all United Nations police officers are aware of and comply with the OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions.

99. OHCHR shall provide inputs on draft guidance developed by the Police Division and in the Directives and/or SOPs on Detention, Searches and Use of Force to ensure they are compliant with human rights standards and procedures and contribute to the full integration of human rights into all aspects of United Nations police work. Human Rights components will advise on other mission-specific guidance with human rights implications.

100. In fulfilling their functions, all police personnel shall be able/trained to recognise a human rights violation and be prepared to intervene according to the peace operation's directives on the use of force and mandate, as well as their specific roles, responsibilities and limits of their competence and capacity. Senior police commanders shall ensure that adequate instructions and procedures are in place from the onset of a peace operation or political mission to guide UNPOL personnel actions when confronted with human rights violations while performing such tasks, with the advice of the human rights component. Specific human rights training shall be provided to UNPOL personnel during their induction.

101. Allegations received or observed by the police component in their work that may amount to human rights violations shall be promptly recorded and shared with the human rights component for verification, investigation and follow-up by the latter, as appropriate. In some cases, joint investigations, follow-up and advocacy can be undertaken under the coordination of the human rights component. Respect for the principle of confidentiality must always be maintained.

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[23] The distinction between military and non-military level threats is described in the DPKO/DFS Policy on Authority, Command and Control as well as in the DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations (01 March 2010).

[24] DPKO/DFS Guidelines on Joint Mission Analysis Centres (JMAC), 01 February 2010, 2010.7.

102. Support provided by the United Nations police shall be subject to the risk assessment in line with the requirements of the Secretary-General's Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces and in close consultation with the human rights component. UNPOL personnel involved in establishing, training, assessing needs and advising a national police service shall ensure that human rights information, analysis and standards are incorporated in all these activities. The human rights component works alongside the UNPOL component to undertake human rights training and support national vetting processes for new or integrated police services and other law enforcement services.

103. Formal mechanisms between the human rights and police components shall be established to facilitate cooperation and information sharing, to mutually inform each other and support the overall peace operation and political mission's mandates. The Police Commissioner shall closely cooperate with the head of the human rights component to anticipate, plan and prepare for possible crises, escalation of violence and upsurges of human rights violations, within the limits of their mandate and capacity. The roles and responsibilities of each component shall be clearly established and internal procedures developed to ensure rapid preventive and protection responses.

D10. Use of force

104. In contrast to FPUs, individual United Nations police officers are unarmed in most peacekeeping operations and special political missions. The following applies primarily to missions in which United Nations police, in particular FPUs, carry arms.

105. United Nations police, including FPUs, must exercise their powers in strict accordance with the United Nations Security Council Resolution(s) and other official issuances applicable to the mission in which they are assigned. They must also exercise their functions in strict accordance with international human rights, UN standards and norms on crime prevention and criminal justice and international policing standards.[25]

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[25] As set forth, among others, in the relevant provisions of the following legal instruments: *Universal Declaration of Human Rights (Adopted and proclaimed by General Assembly resolution 217 A (III) of 10 December 1948); International Covenant on Civil and Political Rights (adopted by the General Assembly resolution 2200 (XXI) of the United Nations on 16 December 1966; treaty in force since 23 March 1976); Convention Against Torture and Other Cruel, Inhumane or Degrading Treatment or Punishment (adopted by the General Assembly resolution 39/46 on 10 December 1984; treaty in force since 26 June 1987); Convention on the Rights of the Child (adopted by the General Assembly resolution 44/25 on 20 November 1989; treaty in force since 02 September 1990); Standard Minimum Rules for the Treatment of Prisoners (Economic and Social Council resolution 663(c) (XXIV) on Prevention of Crimes and Treatment of Offenders of 31 July 1957); Body of Principles for the Protection of All Persons Under Any Form of Detention or Imprisonment (General Assembly resolution 43/173 of 09 December 1988); Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169 of 17 December 1979); Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990)*, the United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders, (the Bangkok Rules (GA resolution 65/229, Annex); Updated Model Strategies and Practical Measures on the Elimination of Violence against Women in the Field of Crime Prevention and Criminal Justice, GA resolution 65/228; the UN Guidelines on Justice in Matters involving Child Victims and Witnesses of Crime, ECOSOC resolution 2005/20 of 22/07/2005; the UN Guidelines and Principles on Access to Legal Aid in Criminal Justice Systems, GA resolution 67/187, Annex.

106. The use of force by United Nations police, including FPUs, is regulated by the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (hereafter "Basic Principles"), the Code of Conduct for Law Enforcement Officials (hereafter "Code of Conduct"), and mission-specific guidance, such as "Directives on the Use of Force and Firearms". The deployment and operations of United Nations police, including FPUs, shall always be based on the principles of necessity, proportionality/minimum/gradual level of force, legality and accountability. All actions of United Nations police shall be aimed at the protection and preservation of human life, property, liberty and dignity.

107. In accordance with para. 1 of the Basic Principles, mission-specific guidance shall be issued in each case, clarifying the authorisation of United Nations police, including FPUs, to carry and use force and firearms, including the precise specifications of the firearms, and other items of police and law enforcement equipment. A technical directive regulating the use of force for United Nations police shall be issued at the commencement of a mission. It must cover all aspects raised in para. 11 of the Basic Principles on the circumstances of the use of force, its management and maintenance of equipment. Bearing in mind the obvious differences in training and capacity between the FPU personnel and IPOs, two separate directives shall be issued. Extending the existing FPU directives to IPO personnel shall be seen as a temporary solution rather than as a long-term fix. Integrated strategies on the Protection of Civilians and Joint Military/Police SOPs shall also include provisions on the roles of both IPOs and FPUs.

108. In accordance with the Basic Principles (para. 9), the *use of force in self-defence* demands that "Law enforcement officials shall not use firearms against persons except in self-defence or defence of others against the imminent threat of death or serious injury, to prevent the perpetration of a particularly serious crime involving grave threat to life, to arrest a person presenting such a danger and resisting their authority, and only when less extreme means are insufficient to achieve these objectives." This principle must be applied in strict accordance with the use of force as authorised by the United Nations Security Council, the mandated tasks and the capabilities of United Nations police, including FPUs.

D11. Delivery

Preconditions for effective delivery

109. **Continuity over time/Enabling environment**: Police development and capacity-building efforts are complex undertakings that usually span a number of years, if not decades. Continuity is achieved through national ownership, including both political and professional consent, transition planning and joint planning with UN partners and long-term donor support. Broad-based societal and donor support for police development – often expressed in a national police development plan – will create a predictable and enabling environment for the reform effort.

110. **Community outreach:** Not least due to rotations, United Nations police have in the past struggled to overcome a lack of knowledge of the local language and host State culture and society. In order to address the challenge of communicating directly with host State police colleagues, authorities and the population in many mission areas, United Nations police shall develop a communication strategy, recruit local staff and engage local partners such as community leaders, media, human rights defenders and other relevant stakeholders and consider developing joint programs with UN agencies, funds and programmes with long-term presence in country and relevant international and national staff.

111. **Professionalism:** United Nations police can effectively fulfil task-oriented roles as long as the police component has been provided with the relevant expertise for a given task. For example, the availability and involvement of police instructors and training experts is a necessary precondition for curriculum development and training delivery. If these skill-sets are provided to United Nations police components, the effective delivery of training on policing matters is a clear comparative advantage. For a number of other activities, non-police civilian capacities can be recruited, such as in the areas of personnel, education, budget, finance, procurement, file and assets management, creation and maintenance of registry for correspondence, forensic and information technologies, policy development, donor relations, resource mobilisation, and project management, including programming and change management.

112. **Strong induction programme/in-service training/handover:** Pre-deployment training remains the responsibility of a seconding state. The United Nations peacekeeping operations and special political missions shall build on the pre-deployment training by offering a rigorous, mission-specific induction programme to police officers, which fully reflects their human rights roles and responsibilities. Particular emphasis shall be put on the topics of monitoring, mentoring and capacity-building during the induction of United Nations police officers as well as on the history and culture of the mission area, in cooperation with host State police.[26] Induction training shall be continuously developed in accordance with the development of the mandate and in consultation with the host State police. Circumstances permitting, onboarding of new staff may also be assisted by a period of overlap in situ between incoming and departing personnel. On-going training on various specialised areas shall be made available to United Nations police officers during their tour of duty in order to enhance their skills. The Heads of Police Component shall issue a training directive on an annual basis, offering training opportunities for serving staff in priority areas, e.g. mentoring and advising, in close consultation with the Integrated Mission Training Centre (IMTC). Heads of Police Components shall also direct their personnel to prepare handover notes, End-of-Assignment reports, etc. and shall decline to release departing officers until such documentation has been provided.

113. **Doctrinal cohesion:** A growing body of United Nations police guidance, rigorous standardised pre-deployment, induction and ongoing training, and strong leadership in missions are critical factors for mitigating the effects of applying diverging national approaches to public safety and police development. The same measures can help to diminish the effects of frequent rotations of United Nations police personnel, such as the risk of inconsistency and loss of institutional memory, especially relating to police development or training programmes that span several rotation periods. In addition, identifying key positions that are especially important to ensuring continuity in longer-term efforts and strategic staffing can help to balance the negative effects of rotations.

114. **Resources**: United Nations police are a relatively inexpensive resource and largely self-funded. However, host States often have limited financial resources in the wake of the conflict and are heavily reliant on external support for even the most basic expenses. Steady international funding can make a significant difference in the implementation of police reform. Therefore, from the outset, missions must be in a position to support capacity-building projects in a predictable, sustainable manner, either directly through assessed budgets or through partnership arrangements with other actors. Particular attention also needs to be paid to the ability to communicate in local languages and mobility.

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[26] For further details see Minimum Standards for Induction Training (MSIT) issued by ITS/DPET/DPKO&DFS

115. **Complementarity across the criminal justice system**: Where feasible, police development shall align its efforts with justice, corrections and security sector governance and reform, as this may ultimately undermine any achievements in the area of policing and law enforcement. The recruitment of a standing capacity for justice and corrections to complement the Police Division's SPC is an essential step towards providing a comprehensive approach to rule of law in the establishment of missions.

116. **Transition planning:** In line with the Secretary-General's Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, United Nations police shall identify clear objectives and associated performance measures, such as benchmarks, once a mandate has been issued. These shall be regularly reviewed to measure progress and, if required, adjusted. Mission drawdown and withdrawal often means a significant adjustment, start-up or surge of activities for internal and external partners alike. United Nations Development Programme, United Nations Office on Drugs and Crime, the International Criminal Police Organization (INTERPOL) and regional partners such as the African Union and the European Union shall be part of the assessment and planning processes from the very start of the United Nations police deployment in order to ensure unity of effort and smooth handover of UNPOL responsibilities in the context of the mission drawdown and withdrawal.

Sequencing and prioritisation

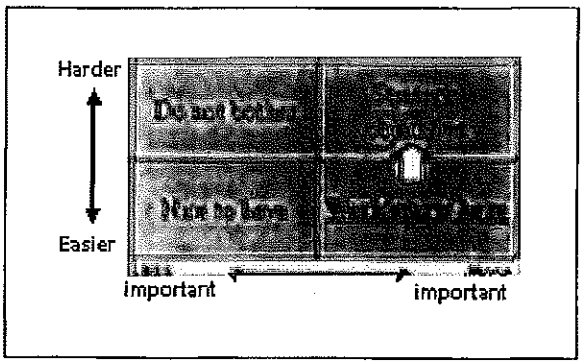
117. Capacity building shall begin at the earliest opportunity. Police capacity-building plans shall include an assessment of capacities already provided under bilateral arrangements, an effective division of labour with bilateral donors (especially long-term donors), and the requirement for civilian police experts to work with bilateral donors to ensure complementarity.

118. The capacity to absorb assistance – even in the form of capacity-building – is often very limited in conflict-affected states. Based on an assessment of existing capacity, United Nations police shall consider carefully how to sequence and prioritise capacity-building efforts to avoid overwhelming host State personnel and institutions. This also calls for close coordination with other partners involved in capacity-building and reinforces the need for a clear lead to create synergies, but also to avoid competing demands on an already strained host State capacity.

119. Depending on the existing level of skills among host State police and on the availability of trainers and instructors in the United Nations police component, United Nations police shall prioritise training on basic policing skills in an early phase.

Model for Sequencing and Prioritisation

120. The chart on the right illustrates the approach outlined in Point 106. Capacity-building shall start with basic policing skills training and an articulation of the vision and strategic objectives for the host State police. As the host State police capacity improves, more sophisticated capacity-building tasks shall be undertaken aimed at achieving strategic objectives.



Partnerships

121. ***United Nations police deliver police assistance in partnership.*** United Nations police shall work towards identifying a clear lead for police development among contributing partners. Where several international agencies or components contribute to United Nations police peacekeeping, responsibility shall be assigned for strategic direction and coordination of the overall police development effort, whether placed with United Nations police or another partner. The suitability of an entity as the lead at the country level will in each case depend on available human and financial resources, the stage of the police development process, the political context and other factors. The key factor is that responsibility and accountability are clearly assigned and that mechanisms are put in place to promote coherence of police assistance.

E. TERMS AND DEFINITIONS

Capacity:	Aptitudes, resources, relationships and facilitating conditions necessary to act effectively to achieve some intended purpose.[27]
Capacity-building:	Efforts to strengthen the above components of capacity. Capacity-building targets individuals, institutions and their enabling environment.
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.
Individual Police Officer (IPO):	Police or other law enforcement personnel assigned to serve with the United Nations on secondment by Governments of Member States at the request of the Secretary-General.
Institution-building:	Part of capacity-building, see above.
Law enforcement official:	All officers of the law, whether appointed or elected, who exercise police powers, especially the powers of arrest or detention. In countries where police powers are exercised by military authorities, whether uniformed or not, or by State security forces, the definition of law enforcement officials shall be regarded as including officers of such services.
Peacekeeping operation:	Operation led by the Department of Peacekeeping Operations.
Police and other law enforcement agencies:	Includes police, gendarmerie, customs, immigration and border services, as well as related oversight bodies, such as ministries of the interior.
Police component:	All United Nations police officers in a given mission, i.e. individual police officers (IPOs), Specialised Police Teams (SPTs) and/or Formed Police Units (FPUs).

[27] Taken from Brinkerhoff, D.W. "Developing Capacity in Fragile States," *Public Administration and Development*, 30, 66-78 (2010).

Police development:	Efforts to strengthen a host State police service through reform and restructuring, as part of capacity-building.
Public order management:	Police actions aimed at facilitating the population's exercise of their fundamental rights without any disturbance or unjustified hindrance and preventing assemblies from threatening or actually harming public safety.
Public safety:	Day-to-day security that allows full freedom of movement, virtual absence of crime and disturbances.
Rule of Law:	Principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforce and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency. (SG Report, S/2004/616)
Specialised Police Team:	A group of experts in a particular police specialism assigned to serve with the United Nations on secondment by an individual country or a group of Member States at the request of the Secretary-General.
Special Political Mission (SPM):	Operation led by the Department of Political Affairs.
United Nations police:	Includes both Headquarters staff in the United Nations Police Division (inclusive of the Standing Police Capacity) and mission staff in United Nations police components.
United Nations police component:	United Nations police organised within a peace operation.

F. REFERENCES

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- Secretary-General's bulletin on the Organization of the Department of Peacekeeping Operations, ST/SGB/2010/1, 5 February 2010.
- Report of the Secretary-General on United Nations police, A/66/615, 15 December 2011.

Related Policies

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- DPKO Policy on Support for the reform, restructuring and rebuilding of police and law enforcement agencies, 18 December 2006, Ref. 2006.30.
- DPKO Policy on Support for Vetting of Police and other Law Enforcement Personnel, 12 February 2008, Ref. 2008.03.
- DPKO/DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations, 15 February 2008, Ref. 2008.04.
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- DPKO/DFS Guidelines on Joint Mission Analysis Centres (JMAC), 01 February 2010, 2010.7.
  DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations, 01 March 2010, Ref. 2009.32.
- DPKO/DFS Operational Concept on the Protection of Civilians in United Nations Peacekeeping, 09 April 2010.
- United Nations Policy on Human Rights Due Diligence on UN Support to non-UN Security Forces (2011).
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- DPKO/DFS Policy on Internal Evaluations and Inspections of United Nations Police, 01 October 2012, Ref. 2012.13
- United Nations Policy on Human Rights Screening of United Nations Personnel, 11 December 2012.
- DPKO/DFS Policy on Functions and Organization of the Standing Police Capacity (SPC), 01 January 2013, Ref. 2012.12.
- DPKO/DFS Policy on Quick Impact Projects (QIPs), 21 January 2013, Ref. 2012.21.
- United Nations Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, 04 February 2013
- DPKO/DFS Guidelines on United Nations Police Support to the Provision of Security in Electoral Processes, 15 February 2013, Ref. 2013.03
- United Nations Policy on Integrated Assessment and Planning, 09 April 2013.

G. MONITORING AND COMPLIANCE

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

H. CONTACT

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

I. HISTORY

DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions

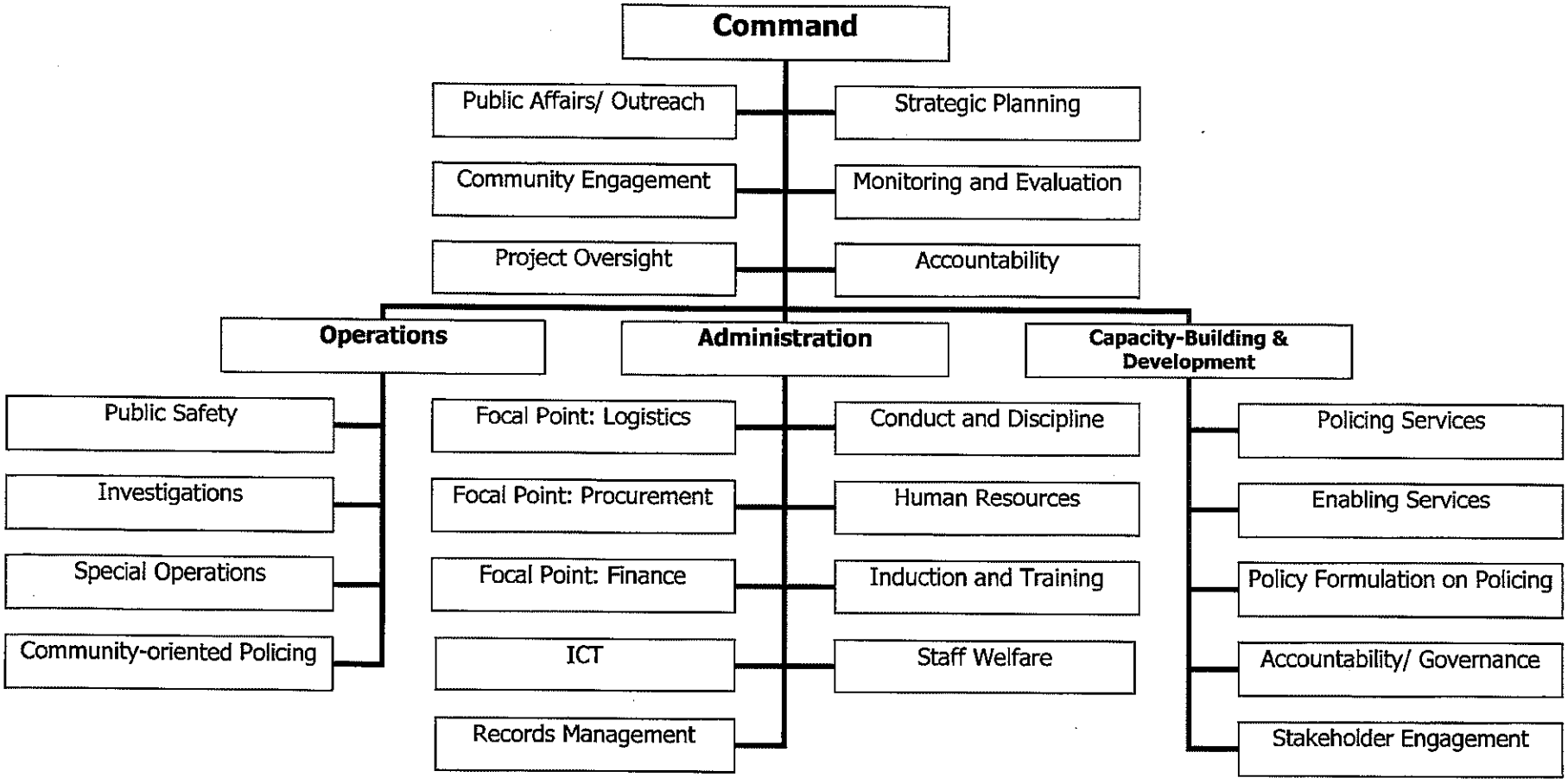
APPROVAL SIGNATURE:

DATE OF APPROVAL:

APPROVAL SIGNATURE:

DATE OF APPROVAL:

ANNEX 1[28]



[28] Contains a *non-exhaustive* list of *typical* subsidiary functions to be undertaken by a police peacekeeping operation.

Operations: Tasks

Public Safety

- Operations centre
- Patrolling (incl. mounted patrols)
- Public order management
- Road traffic and safety
- Check points
- Border management and control (air, land, naval)
- Protection of UN personnel and facilities
- Check points
- Static guarding
- Protection of human rights including of civilians under threat of physical violence and vulnerable groups
- K-9 units

Investigations

- Criminal investigations
- Criminal intelligence
- Crime analysis
- War crimes
- Organized crime
- Terrorism
- Domestic violence
- SGBV crimes
- Juvenile justice
- Forensics

Special operations

- Explosive ordinance disposal
- Covert operations
- Witness protection
- SWAT
- Assistance in electoral processes
- SALW/ disarmament
- VIP security
- Fire-fighting
- Emergency disaster response

Community-oriented and information- & analysis-led policing

- Overarching approaches to all other operational tasks

Capacity-Building and Development: Tasks

Policing Services

- Conduct, Discuss and Agree on a Needs Analysis
- Coach and Advise Police Leaders
- Coordinate with Other Donors
- Design Community Security Patrols
- Develop and Conduct Investigation Training
- Develop and Conduct Project Management Training
- Develop and Conduct Specialist Skills Training
- Develop Gender Course
- Introduce Community Policing Concept
- Pilot Crime Prevention &

Enabling Services

- Conduct, Discuss and Agree on a Needs Analysis
- Assist in Budget Preparation for the Police Force
- Coordinate with Other Donors
- Buy Equipment
- Design and Build Police Posts
- Develop and Conduct Project Management Training
- Develop and Conduct Training of Trainer (ToT) Course
- Develop Gender Course
- Develop Maintenance Programs for Facilities and Equipment
- Develop Recruitment Policy, Recruit Selection Criteria,

Policy Formulation on Policing

- Conduct, Discuss and Agree on a Needs Analysis
- Assist Public Consultations on Policing
- Coordinate Activities for an Integrated Justice Sector and Corrections
- Conduct Community Perception Survey
- Coordinate with Other Donors
- Develop and Conduct Project Management Training
- Develop Gender Course
- Support the Development of a Local Policing Model
- Assist with the drafting of Use of Force Policy

Accountability/ Governance

- Conduct, Discuss and Agree on a Needs Analysis
- Coordinate with Other Donors
- Develop and Conduct Code of Conduct Training
- Develop and Conduct Project Management Training
- Develop Gender Course
- Improve Organizational Structure
- Improve Senior Executive Culture and Practice
- Reinforce the Police Code of Ethics and Values
- Strengthen Internal Governance and Anti-Corruption Mechanisms
- Support Accountability to

Stakeholder Engagement

- Assist the Police Force to Engage with their Government and Other Relevant Agencies
- Conduct, Discuss and Agree on a Needs Analysis
- Coordinate with Other Donors
- Develop and Conduct Project Management Training
- Develop Gender Course
- Support Liaison with Regional Initiatives
- Support Partnerships with NGOs
- Establish Protocols and Procedures to Promote Victim Support & Referrals
- Implement

Community Safety Initiatives
- Improve Quality of Prosecution
- Improve the quality of Intelligence
- Improve Timeliness and Quality of Responses to Incidents
- Develop a Local Model to Understand Transnational Crime
- Ensure Crime Scene Protection Capabilities
- Establish Victim Support Office
- Establish Radio Communication Centre
- Improve Evidence Preparation
- Strengthen Case Management Processes
- Support Community Mechanisms to Prevent and Address Crime

and Recruit Training Package
- Develop and Strengthen a Functioning Payroll and Basic HR Systems
- Ensure Sustainable Administrative Systems
- Equip Police HQ with Computers
- Establish / Implement Efficient Internal Procedures
- Establish Radio Communication Centre
- Establish Vetting Policy and Mechanisms for Recruits
- Improve Data Management (i.e. Crime Statistics)
- Refurbish Police Stations and Other Facilities
- Review and Upgrade Curricula and Trainings
- Review Asset

- Review Adherence to International Standards of Human Rights
- Review Legislation & Policies related to Role, Powers and Procedures of Police
- Support the Design of Police Reform
- Support Review and Reform of Police Act
- Support to Policing Policy Dialogue and Formulation
- Support the Police Participation to National Development Plans
- Support Integration of Police to Local National Budget Processes
- Identify all the providers of policing in the

External Oversight Authority
- Report on Progress Achieved

Community Outreach Programs
- Provide Support to Other Government Agencies (Customs, Immigration, Quarantine, Fisheries, Maritime, etc)
- Support Community Mechanisms to Prevent and Address Crime
- Support Local Police Engagement with Women's Group
- Support Local Police Engagement with Churches
- Support Integration of Police to Local National Budget Processes
- Identify all the providers of policing in the country
- Support Linkages

- Support Domestic Violence Unit
- Support More Efficient Response to SGBV
- Support Border Security
- Support Public Order Capabilities
- Support the Role of Police in Anti-Corruption Work
- Promote Inclusion of Community Safety Issues into Commune Planning Processes
- Report on Progress Achieved

Requirements

- Support Integration of Police to Local National Budget Processes
- Report on Progress Achieved

country

- Support Linkages between the Police and Traditional Justice Mechanisms
- Report on Progress Achieved

between the Police and Traditional Justice Mechanisms

- Promote Inclusion of Community Safety Issues into Commune Planning Processes
- Report on Progress Achieved