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Authority, Command and Control in United Nations Peacekeeping Operations

Approved by:
USG DPO
USG DOS
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Contact: DPET
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AUTHORITY, COMMAND AND CONTROL IN UNITED NATIONS PEACEKEEPING OPERATIONS

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A. PURPOSE

1. This policy specifies the authority, command and control (AC2) arrangements for United Nations peacekeeping missions.

B. SCOPE

2. This policy applies to all personnel involved in the planning of United Nations peacekeeping missions and in the implementation of their mandates.

3. This policy defines and describes the AC2 arrangements at the Headquarters and mission levels; the responsibilities of the Head of Mission (HOM) and other senior mission leadership and mission

integration and control arrangements.[1]

4. The policy also specifies the responsibilities retained by Member States over their military and police contingents and units serving in United Nations peacekeeping missions.

5. On the security management issues concerning the protection of United Nations personnel as defined by the United Nations Security Management System, please refer to the United Nations system-wide policy guidance of the United Nations Security Management System (UNSMS), in particular the Framework for Accountability of the UNSMS (Security Policy Manual Chapter II, Section A) and the Applicability of the UNSMS (Security Policy Manual Chapter III, Section A). Individuals accountable under AC2 have roles and responsibilities under the UNSMS as outlined in the Framework of Accountability of the UNSMS.

C. RATIONALE

6. United Nations peacekeeping missions vary in size and scope and are configured in different ways ranging from multidimensional missions that bring together civilian, military, and police personnel with a civilian HOM, to missions focused on military tasks, with the Force Commander as HOM. [2] The structural configuration of a peacekeeping mission should reflect specific requirements, circumstances and mandates and be tailored to each context. AC2 arrangements for United Nations peacekeeping missions decentralize significant decision-making authority and responsibility to the mission level and are characterized by a relatively "flat" command structure.

7. AC2 arrangements are essential to define the interrelationship of roles and responsibilities of leaders at United Nations Headquarters (UNHQ) and in peacekeeping missions. This enhances organizational cohesion and unity of effort at all levels and assists the integration of mission operations, assets, and activities in support of the implementation of mission mandates. This policy should be read in conjunction with other policies and issuances that detail the responsibilities of senior leaders in the field, as listed in Section F of this policy.

D. POLICY

D.1 Authority, Command and Control in United Nations Peacekeeping Operations

8. The system of AC2 in United Nations peacekeeping operations derives from the United Nations Charter, which designates the Secretary-General as the chief administrative officer of the Organization and requires him to perform the functions entrusted to him by the Security Council and the General Assembly. The Security Council establishes peacekeeping missions, provides their mandates, specifies the high-level political objectives of each mission and entrusts the Secretary-General with the responsibility for implementing mission mandates. The General Assembly provides the required annual appropriations necessary to fund mission operations.[3]

9. To ensure the effective and accountable implementation of the decisions of both the Security Council and the General Assembly, the Secretary-General confers responsibility and delegates authority for

[1] See Section E for AC2 Terms and Definitions.

[2] A multidimensional peacekeeping mission is a peacekeeping mission comprised of military, police and civilian components working together to implement a mandate from the Security Council.

[3] The Secretary-General shall maintain a system of internal controls designed to provide reasonable assurance regarding the reliability of financial reporting and assurance that the Organization's resources and assets are safeguarded in accordance with the regulatory framework, in order to meet the aims and objectives of the Organization.

mission management to the HOM.[4] These authorities are governed by the AC2 framework at three distinct but overlapping levels: strategic, operational and tactical. Most of the strategic level authority and responsibilities are vested in the senior leadership in UNHQ and mission headquarters (mission HQ), namely the HOM and other members of the Mission Leadership Team (MLT). The operational level encompasses both mission HQ and the sub-national level, where most missions have Field Offices and/or military sector/regional HQ(s).[5] The Heads of the Military and Police Components exercise "UN operational command and control" over the Military and Police Components respectively, see sections D.3 and D.4 of this policy.

10. The decentralized nature of the AC2 framework in United Nations peacekeeping missions cascades authority downward and ensures that senior United Nations personnel at different levels within the mission have responsibility for decision-making on strategic, operational and tactical issues within their areas of responsibility, under the strategic guidance of the HOM and MLT. This means that certain strategic responsibilities also rest with senior United Nations personnel deployed in Field Offices and/or military sector HQ(s) who oversee significant numbers of personnel and resources, in accordance with their respective terms of reference. Managing authorities, roles and responsibilities at these different levels and across different mission components is essential to the effective functioning of AC2 in United Nations peacekeeping missions.

D.1.1 The Headquarters Level

11. The Under-Secretary-General (USG) for Peace Operations is responsible for providing political and policy guidance and strategic direction to the Department of Peace Operations (DPO), and peacekeeping operations. The USG for Peace Operations also directs policy development and approves guidance materials related to the planning and conduct of peacekeeping missions based on Security Council mandates and General Assembly resolutions.[6]

12. The USG for Operational Support (DOS) is responsible for operational support to United Nations Secretariat entities globally, including peace operations.[7]This support includes advisory, operational and transactional support services in the areas of administration, supply chain, logistics, health care management, personnel and information and communications technology.

13. The USG DOS signs the *Memorandum of Understanding* (MOU) with Troop/Police Contributing Countries(T/PCCs) in accordance with the Contingent Owned Equipment (COE) Manual (2017), or its successor.[8] The USG DOS sub-delegates authority to the Assistant Secretary General for Supply Chain Management for all procurement activity, including Letters of Assist (LoAs) with Member States for the provision of mission military enabling assets.[9]

14. The USG for Management Strategy, Policy and Compliance (DMSPC) is responsible for managing the administrative framework of the Organization – including the regulations, rules and administrative

[4] This AC2 framework is unique to United Nations peacekeeping and differs from the command structures adopted by some other organizations that are more centralized and confer all strategic and even operational responsibilities to HQs outside the mission area.
[5] The Area of Responsibility of a Field Office may include one, or more, sub-offices that report to the Field Office.
[6] The functions and organizations of DPO are outlined in the relevant ST/SGB.
[7] The functions and organization of DOS are outlined in the relevant ST/SGB.

[8] The MOU is the administrative, logistical and financial agreement governing the contribution of personnel, equipment and self-sustainment services provided by the T/PCC in support of the peacekeeping mission and specifies the United Nations standards of conduct for personnel provided by the T/PCC.
[9] Military enabling assets are described in Section D.6.2 of this policy.

policies – as well as monitoring compliance with the framework.[10]

15. The USG for Safety and Security (USG UNDSS) is accountable and responsible to the Secretary-General for the executive direction and control of the UNSMS and for the safety and security of United Nations personnel and their recognized dependents both at UNHQ and in the field, in accordance with the Framework of Accountability of the UNSMS.[11]

16. A single political-operational regional structure under Assistant Secretaries-General with regional responsibilities with dual reporting lines to the USGs for Political and Peacebuilding Affairs, and Peace Operations, is responsible for the entire range of political and operational engagements on peace and security issues, including the provision of strategic, political and operational guidance, analysis and direction. The respective regional areas are organized by regional divisions and further organized into integrated teams, tailored to the specific context, political and operational needs of field presences.

D.1.2 The Mission Level

17. In United Nations peacekeeping missions, responsibility for mandate implementation and authority for managing resources are both vested by the Secretary-General in the HOM. Each mission has an MLT that supports the HOM in the execution of their functions and in ensuring coordination and consultative decision-making on strategic and operational issues (see Section D.8.1 of this policy). While MLT composition is specific to each mission, members of the MLT typically include:

- Head of Mission (HOM);
- Deputy Special Representative of the Secretary-General (DSRSG);
- Deputy Special Representative of the Secretary-General/Resident Coordinator/Humanitarian Coordinator (DSRSG/RC/HC);
- Chief of Staff (COS);
- Head of Military Component (HOMC) and/or Deputy Head of Military Component (DHOMC);
- Head of Police Component (HOPC) and/or Deputy Head of Police Component (DHOPC);
- Director/Chief of Mission Support (D/CMS);
- Principal/Chief/Security Advisor (P/C/SA);
- The Senior Legal Advisor (SLA)[12]; and
- Other senior heads and advisors of the civilian organizational units including the Head of the Human Rights Component, Senior Gender Advisor and Senior Protection of Civilians Advisor.

18. Dependent upon the size and scope of the mission, senior mission leaders should establish and maintain integration and control structures, that allow them to develop and disseminate their intent, take and implement decisions, and adjust operations and align the use of resources to reflect changing circumstances and priorities. These integration and control structures are detailed in Section D.8. of this policy.

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[10] The functions and organizations of the DMSPC are outlined in the relevant ST/SGB.

[11] For the categories of "United Nations Personnel" covered under the UNSMS, please refer to Security Policy Manual, Chapter III, Section A on the Applicability of the UNSMS.

[12] The SLA reports to the HOM, either directly (recommended) or through the COS, and may also seek guidance from OLA at UNHQ. The SLA advises the HOM on all legal aspects of the mission's operations, the mission's mandate including the use of force, the Mission's status-of-forces agreement (SOFA), United Nations privileges and immunities, the United Nations legal framework and international and national laws, claims, liabilities, etc. The SLA has the final authority over all legal matters at the mission level, subject to any final determination that may be sought from OLA on legal issues with implications beyond the mission.

Head of Mission

19. The responsibility for implementation of the mission mandate and authority for managing the resources of the mission are vested in the HOM. To this end, the HOM leads and directs the MLT and ensures unity of effort and coherence among all United Nations entities in the mission area.[13] The HOM assigns responsibility for the operational and technical aspects of mandate implementation to the MLT and other structures for integration, control and coordination described in Section D.8. of this policy.[14]The HOM may serve as the Designated Official (DO) for Security in accordance with the Framework of Accountability of the UNSMS.[15]

20. In missions where the HOM is the most senior United Nations official in the country or designated area in which the mission is deployed, the HOM simultaneously serves as Special Representative of the Secretary-General (SRSG) for the country or designated area. In this capacity, the HOM represents the Secretary-General, leads United Nations political engagement and speaks on behalf of the United Nations within the country, or designated area. The HOM reports to the Secretary-General through the USG DPO.

21. *Political guidance:* The HOM sets the political and strategic direction for the mission within the parameters set by the USG for DPO and provides political and strategic direction to the MLT and Heads of Field Offices, where present. The HOM's intent and direction inform the development of a Mission Plan and an Integrated Strategic Framework (ISF) into which the mission organizational units embed their specific plans, as described in Section D.8.3 of this policy. In addition, the HOM can issue mission-specific written guidance to ensure effective delivery of their strategic intent in line with United Nations guidance.

22. *Resource management:* The Secretary-General delegates authority to manage the human, financial and physical resources of the mission to the HOM under the framework established in ST/SGB/2019/2. Resource management shall be supported at mission level by a resource allocation structure comprising the MLT, which should meet on a regular basis to review and prioritize mandate implementation activities and operations and to allocate, monitor and prioritize resources, as needed. To allow decisions to be taken closer to the point of delivery, the HOM may sub-delegate the authority to subordinate United Nations personnel on a functional basis, who may further sub-delegate as appropriate. United Nations personnel who sub-delegate authority remain accountable for decisions taken under sub-delegated authority.

23. *Delegation of authority:* DOS and DMSPC at UNHQ support senior managers, including the HOM, on the delegation of authority framework. DOS provides advice to the HOM on the exercise of delegated authority and provides capacity development and operational training services to Secretariat entities, including missions. DMSPC oversees the delegation of authority framework and monitors the exercise of delegation of authority across the Secretariat. Delegations of authority may be suspended, amended, or revoked by the Secretary-General on the advice of the USG DMSPC, in consultation

[13] The Head of the Human Rights Component is the human rights adviser to the HOM, and as representative of the High Commissioner for Human Rights in the peacekeeping mission is responsible for keeping the High Commissioner and the Office of the High Commissioner for Human Rights informed, and consulting with them on policy and operational issues and developments, including the workplan of the Human Rights Component. As such, the Head of the Human Rights Component has dual reporting obligations, to the HOM (directly or through the DSRSG) and the High Commissioner for Human Rights.

[14] In hybrid missions, the HOM reports to both the Secretary-General of the United Nations and to the senior official of another organization. One example of this dual reporting arrangement is the United Nations-African Union Hybrid Operation in Darfur (UNAMID) where the HOM (known as the Joint Special Representative) reports to both the United Nations Secretary-General and the African Union Commission Chairperson.

[15] The USG UNDSS nominates, on behalf of the Secretary-General, the DO for Security, and is responsible for providing support related to the management of safety and security in field missions and the United Nations Secretariat integrated security workforce.

with the USG DOS.[16]

Deputy Special Representatives of the Secretary-General

24. Multidimensional peacekeeping missions generally have two DSRSGs to support the HOM in executing certain substantive civilian functions of the mission. The DSRSGs report to the HOM and are responsible to the HOM for the exercise of their respective functions as DSRSG. The DSRSGs support the HOM in developing strategies for political engagement and provide advice to the HOM on matters related to the implementation of the mission mandate for which they are responsible. The mission organizational units under the DSRSG's authority may vary according to the mandate and configuration of a mission.[17]One of the DSRSGs serves as Officer-in-Charge of the Mission in the HOM's absence and as DO for Security ad-interim in the HOM's absence, in cases where the HOM serves as the DO for Security.

25. In structurally integrated peacekeeping missions, one of the DSRSGs concurrently serves as Resident Coordinator (RC) and, in many cases, also the Humanitarian Coordinator (HC) and co-ordinates United Nations Agencies, Funds, Programmes and other development and/or humanitarian organizations.[18]The DSRSG (RC/HC) is responsible to the HOM in his/her capacity as DSRSG and as DSRSG advises the HOM on all development (and humanitarian) issues in the mission area.

26. The DSRSG (RC/HC) serves as the principal interface between the mission and United Nations Country Team (UNCT) in his/her capacity as RC, and the Humanitarian Country Team in his/her capacity as HC. The DSRSG (RC/HC) is also responsible for donor coordination on humanitarian and development issues and ensuring, where relevant, consistency between United Nations, national and international planning frameworks. The DSRSG (RC/HC) retains additional reporting lines to the Secretary-General through the Development Coordination Office on RC issues and to the Emergency Relief Coordinator on HC issues.[19]

27. The DSRSG (RC/HC) may play a significant role, under the direction of the HOM, for overseeing the planning, coordination and management of a United Nations transition, in partnership with the host nation and UNCT. A United Nations transition typically involves the reconfiguration of the whole United Nations presence and objectives, not only the drawdown and withdrawal of a peacekeeping mission.

Mission Chief of Staff

28. The COS reports to the HOM and is responsible to him/her for ensuring coherence across all organizational units of the mission in executing the directives of the HOM. To this end, the COS is responsible for the coordinated and efficient running of the integration and control structures within mission HQ (and Field Offices, where relevant) and may establish and convene other coordination mechanisms, as required. The COS's core focus is on mission management and specific functions and structures that allow the MLT and senior leadership to understand the situation, develop and consult on options, make their intent known, execute decisions and adapt operations to

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[16] The USG DOS shall exercise delegations when entities do not have sufficient capacity or where a delegation of authority has been suspended or revoked. See Secretary-General's bulletin on Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules (ST/SGB/2019/2).

[17] Mission organizational units are the composite elements of a mission (i.e. divisions, offices, pillars, teams, etc) and vary according to the mandate and structure of a mission.

[18] The Resident Coordinator is the highest-ranking representative of the United Nations development system (UNDS) at the country level, with the responsibility to lead United Nations country teams, and ensure system-wide accountability on the ground - including through a matrixed dual reporting model – for the United Nations Sustainable Development Cooperation Framework (UNSDCF) and supporting countries in their implementation of the 2030 Agenda. The functions of the Resident Coordinator are detailed in the "United Nations Resident Coordinator Generic Job Description" of November 2018.

[19] The functions of the Humanitarian Coordinator are detailed in the "Terms of Reference for the Humanitarian Coordinator", approved by the IASC on 4 May 2009.

circumstances. The COS supports the accomplishment of the HOM's management and control functions; this includes planning, organizing, and resourcing (in consultation with D/CMS) to accomplish mission mandated objectives and tasks.[20]

29. The integration and control structures under the responsibility of the COS include the Peacekeeping-Intelligence Coordination Mechanism, Mission Planning Unit (MPU), Joint Mission Analysis Centre (JMAC), Joint Operations Centre (JOC), Conduct and Discipline Unit and Policy and Best Practices Officer. The Heads of Field Offices could report to the HOM either through the COS, or through a DSRSG. The HOM decides whether the Senior Legal Advisor/Legal Advisor reports directly to him/her or through the COS. The COS is responsible for the implementation of the Comprehensive Performance Assessment System (CPAS), Enterprise Risk Management and Organizational Resilience Management System (ORMS) and ensures the mission-wide coherence of all contingency plans.[21]

Head of Military Component

30. The HOMC reports to the HOM and is responsible to him/her in the discharge of his/her functions. The HOMC exercises "UN operational command and control" over all United Nations military personnel and units in the mission and establishes the military operational chain of command, as described in Section D.3.1 of this policy.[22] In doing so, the HOMC places military units and individually deployed experts under the command of subordinate commanders, which allows subordinate commanders to assign tasks to forces under their command.[23] When absent, the HOMC designates the DHOMC, as Officer-in-Charge.

31. In missions with military contingents, the Force Commander serves as the HOMC, while in missions to which only military observers are deployed, the Chief Military Observer serves as the HOMC.

32. The HOMC maintains a technical reporting and communication link with the DPO Military Adviser at UNHQ.[24]This technical reporting link must not circumvent, or substitute, for the direct command chain between the USG DPO, the HOM and the HOMC; nor should it interfere with decisions taken by the HOM or the HOMC in accordance with this policy.

Head of Police Component [25]

33. The HOPC reports to the HOM and is responsible to him/her in the discharge of his/her functions. The HOPC exercises "UN operational command and control" over all United Nations police personnel and units in the mission. This includes all United Nations Individual Police Officers (IPOs), Formed Police Units (FPUs), specialized police teams and United Nations civilian personnel serving in the

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[20] In missions without a civilian COS, the HOM will assign the above-mentioned responsibilities to another member of the MLT to ensure coherence across all organizational units of the mission.

[21] The ORMS was approved by the General Assembly in June 2013, under General Assembly resolution 67/254, as the emergency management framework for the Organization. The ORMS aims to assist United Nations entities to build resilience by aligning and harmonizing preparedness efforts to enhance the Organization's ability to continuously deliver its mandates.

[22] "UN operational command and control" is defined in Section E of this policy.

[23] A unit is defined as a Battalion, or equivalent. A sub-unit is an element of a larger unit.

[24] Technical reporting is a secondary reporting line for informational and technical purposes on matters not relating to the command and control of operations or to national administrative control. The HOMC/HOPC is required to refer to the United Nations Office of Military Affairs/Police Division at UNHQ for all matters that may affect the nature or the continued effectiveness of the military or police components, respectively, as well as matters likely to affect the United Nations relations with the governments of T/PCCs, while keeping the HOM and D/CMS fully informed. See Section E of this policy.

[25] The authorities, roles and responsibilities of the HOPC are more comprehensively covered in the Police Commissioners/Police Advisers Directive issued by DPO.

Police Component. The HOPC shall establish the police chain of command, as described in Section D.4.1 of this policy. This may include the creation of police regions/sectors with subordinate police commanders. When absent, the HOPC designates the DHOPC, as Officer-in-Charge.

34. The HOPC maintains a technical reporting and communication link with the DPO Police Adviser at UNHQ.[26]This technical reporting link must not circumvent, or substitute, for the direct command chain between the USG DPO, the HOM and the HOPC; nor should it interfere with decisions taken by the HOM or the HOPC in accordance with this policy.

Director/Chief of Mission Support

35. The D/CMS reports to the HOM and is responsible to the HOM for the effective provision of support to all mission organizational units in the areas of supply chain, service delivery and operational resource management, in accordance with their delegated authority.[27] The D/CMS advises and represents the HOM on the management of financial, human and physical resources of the mission in support of the mission's mandate. The D/CMS exercises authority sub-delegated by the HOM.

D.1.3 Field Offices

36. At the level of Field Offices, the Head of Field Office represents the HOM and is responsible for the coherence of mandate implementation, consistent with the strategic and policy guidance provided by the HOM and MLT, through the COS (or DSRSG if Heads of Field Office report to him/her).[28]

37. Heads of Field Office do not hold command or control authority over the uniformed components. Military and police commanders at the sector/regional level and below (i.e. battalion and company level) report through their respective chains of command in accordance with their field command frameworks. However, these commanders must coordinate with the Head of Field Office, with regional integrating entities and with Mission Support staff on the planning and execution of all activities in the Field Office area of responsibility. Where uniformed areas of responsibility do not align with those of civilian regions, mechanisms for coordination should be established between the Heads of Field Office and the uniformed commanders, including in cases where uniformed areas of responsibility do not align with those of civilian regions.

38. Heads of Field Office are responsible for convening regional management team meetings with United Nations uniformed commanders and civilian personnel in the Field Office to coordinate and ensure:

- Common understanding of roles and responsibilities in the implementation of the mission mandate;
- Coherence of effort in the planning and implementation of mission plans and strategies;
- The exercise of good offices on behalf of the HOM;
- Effective security management and adequate security mechanisms have been put in place;[29]

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[26] On issues of administrative, logistical and/or financial implications, the HOMC/HOPC shall bring matters that have important policy and operational implications for the military or police components to the attention of the United Nations Military or Police Advisers, respectively, while keeping the HOM, COS and D/CMS fully informed.

[27] The civilian head of Mission Support within a peacekeeping mission is generally designated as the DMS in a large and/or complex mission and CMS in medium or small size mission.

[28] The Human Rights Team Leader reports to the Head of the Human Rights Component on substantive policy and planning issues with a secondary reporting line to the Head of Field Office, in line with paragraph 129, Human Rights in United Nations Peace Operations and Political Missions Policy (September 2011). Human rights staff coordinating activities in the field shall report to the Head of Field Office on day-to-day matters to ensure effective coordination in the Field Office area of responsibility.

[29] Normally the Head of Field Office acts as Area Security Coordinator (ASC) as outlined in the Framework of Accountability of the UNSMS for the protection of United Nations personnel (covered under the UNSMS), premises and assets in his/her area of responsibility. See Section D.8.2 of this policy. In integrated operating bases the most senior military commander shall be

- Coordination of police, military and joint operations between one another and with United Nations civilian personnel;
- Coordination with Mission Support on the planning and implementation of relevant activities;
- Information flow and prevention of duplication of effort;
- Integrated reporting; and
- Joint handling of local crisis situations, in close cooperation with the regional and/or mission HQ JOC, including relocation of United Nations personnel when instructed by the DO for Security.

39. Heads of Field Office are responsible for ensuring coordinated delivery of United Nations operations with the DSRSG (RC/HC), or the Resident Coordinator's Office and with United Nations Agencies, Funds and Programmes, in line with the mission's mandate and objectives and allocated resources.

D.2 Lines of Authority, Command and Control

40. The HOM has authority over all United Nations personnel deployed in a mission including the authority transferred by Member States to the United Nations to use the operational capabilities of their national military contingents, FPUs, and military and police personnel to undertake mandated tasks. This is "UN operational authority".[30] The HOM exercises authority over uniformed components through the heads of those components. The heads of the uniformed components have "UN operational command and control" over their troops/uniformed units/personnel. Where joint military/police/civilian operations are undertaken the HOM will ensure that command and control structures are established, and regular exercises conducted to test those structures.

41. United Nations uniformed personnel may be selected by the respective head of component to serve within civilian, integrated or other mission organizational units, for example, the Mission Support Centre (MSC), Service Delivery/Supply Chain Management, United Nations Mine Action Service (UNMAS), JOC, JMAC, MPU or Mission Air Operations Centre (MAOC).[31] Likewise, United Nations civilian personnel may be selected to serve within the uniformed components, integrated or joint offices, including Field Offices.

42. The head of the mission organizational unit to which United Nations personnel have been assigned serves as First, or Second Reporting Officer for performance appraisal. For uniformed personnel the HOMC or HOPC is Additional Reporting Officer. United Nations uniformed personnel assigned to integrated and joint office structures shall be collocated with those structures without exception.[32]

D.3 Military Component Command and Control

D.3.1 Military Operational Chain of Command

43. The HOMC shall establish the military operational chain of command, as follows and as needed: HOMC; Sector Command (Brigade Command); Battalion Command and sub-units. This military chain of command for operations is issued as a "Field Command Framework". The HOMC will ensure that individually deployed staff officers, or individually deployed experts, are not placed in command of formations, or units. Units that respond directly to Force HQ shall be designated as such. The "Field Command Framework" will include chain of command succession arrangements at all levels of

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responsible for the planning and execution of comprehensive security management of the base. Command and control arrangements for defense and security plans must be exercised on a regular basis.

[30] "UN Operational Authority" is defined in Section E of this policy.

[31] Mission-specific procedures may be established for civilian, integrated, or other mission organizational unit heads to select or recommend the selection of appropriate United Nations uniformed personnel for those units' functions.

[32] United Nations Secretariat personnel can only be supervised by another United Nations Secretariat personnel for e-performance evaluation purposes.

command, including Force HQ, Sector/Brigade and Battalion HQs, considering internal national contingent procedures for the succession of command.[33]

D.3.2 Operational Command and Control of Military Personnel

44. The HOMC is accountable to the HOM for the management of the Military Component with responsibility to ensure effective mandate implementation consistent with the Mission Plan and in compliance with United Nations policies and procedures. Decisions on major military operations, or redeployment of troops within the mission area of operations, should result from consultations between the HOM, COS, HOPC and the D/CMS and must have the HOM's concurrence.

45. The HOMC exercises "UN operational command and control" over all military units and individually deployed military experts (i.e. military observers, staff officers or military liaison officers) assigned by Member States to the mission. "UN operational command and control" allows the HOMC to assign tasks to individually deployed military experts, units and sub-units within the military component, in consultation with the National Contingent Commander (NCC), as appropriate.[34] The HOMC may delegate "UN operational command and control" to subordinate command levels, as defined within the military component's "Field Command Framework" as described in paragraph 43 of this policy.

46. The HOMC is responsible to the HOM for ensuring the maintenance of discipline and good order among contributed military personnel within the mission area, including in the prevention and reporting of misconduct, in accordance with United Nations standards of conduct and the relevant policies, administrative issuances and guidance on conduct and discipline.[35]

D.4 Police Component Command and Control

D.4.1 Police Operational Chain of Command

47. The HOPC shall establish the police operational chain of command, as follows and as needed: HOPC; Regional Command, Sub-regional Command, FPUs and sub-units. This police chain of command for operations shall be issued as a "Field Command Framework". The HOPC shall ensure that IPOs without designated command authority, as per the "Field Command Framework", are not

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[33] Chain of command succession arrangements ensure that at any given time during the absence of a senior commander, there exists a pre-determined chain of command (i.e. Officiating FC/Officiating COS/Officiating CMO) that is empowered to exercise the same authority as the incumbent when absent. In rare cases when the Divisional Commander (and Deputy Divisional Commander) or Brigade Commander (and Deputy Brigade Commander) are absent from the mission area, the nominated Brigade Commander or Battalion Commander shall perform the duties and functions of Officiating Divisional Commander or Officiating Brigade Commander.

[34] The NCC is a senior national officer of a contributed uniformed contingent or unit within the mission area. The NCC is responsible for matters such as personnel management, supply services and other non-operational tasks on behalf of uniformed contingent personnel and units.

[35] The HOM is accountable to the Secretary-General for the good conduct of all mission personnel. The HOMC, in turn, is accountable to the HOM for the good conduct of all members of the military component. While the contributing country retains the right to conduct the investigation and while it remains responsible for sanctioning, as applicable, its military personnel contributed under a TCC MOU with the United Nations, the United Nations may conduct a preliminary investigation of allegations of misconduct against military personnel contributed under a TCC MOU with the United Nations. The United Nations may also conduct its own investigation of the alleged misconduct of military personnel contributed under a TCC MOU, if the contributing country fails to initiate the national investigation in the applicable timeline. The United Nations may take measures for the early repatriation of contributed military personnel, including on grounds of conduct and discipline. The exercise of the disciplinary authority by TCCs over its personnel contributed to the United Nations under a TCC MOU shall also not preclude or interfere with the requirement that the United Nations conducts its own inquiries in instances involving loss of life or serious injuries to United Nations personnel or third parties, in instances of loss or damages to United Nations Owned Equipment (UNOE), COE, or third-party property or in other applicable circumstances, as spelled out in the Standard Operating Procedure on Boards of Inquiry (Ref.2016.05 or its successor).

placed in command of FPUs and/or their sub-units. Units that respond directly to the HOPC will be designated as such. The HOPC has authority to redeploy FPUs within the mission area according to operational requirements.[36] The "Field Command Framework" shall include chain of command succession arrangements at all levels of command considering internal national contingent procedures for succession of command.

D.4.2 Operational Command and Control of Police Personnel

48. The HOPC is accountable to the HOM for the management of the Police Component with responsibility to ensure effective mandate implementation consistent with the Mission Plan and in compliance with United Nations policies and procedures. Decisions on major operations, or redeployment of units (or sub-units) within the mission area of operations should result from consultations between the HOM, COS, HOMC and the D/CMS and must have the HOM's concurrence.

49. The HOPC exercises "UN operational command and control"' over police personnel and FPUs contributed by Member States to serve in a mission. "UN operational command and control" allows the HOPC to assign IPOs, specialized police teams, and FPUs (and/or its individual units) within the police component to operational tasks within the mission area, in consultation with the National Contingent Commander (NCC), as appropriate.[37] The HOPC may delegate "UN operational command and control" to subordinate command levels as defined within the police component's "Field Command Framework" as described in paragraph 47 of this policy.

50. The HOPC may further assign police personnel and units to a specific subordinate commander (for example, at the tactical level). These subordinate commanders will exercise "UN tactical command and control" over assigned IPOs and units as designated by the HOPC.

51. The HOPC is responsible to the HOM for ensuring the maintenance of discipline and good order among contributed police personnel within the mission area, including for the prevention and reporting of misconduct, in accordance with the United Nations standards of conduct and policies and relevant administrative issuances and guidance on conduct and discipline.[38]

D.4.3 Administrative Control of Military and Police Personnel

52. The Contributing Member State retains "administrative control" over non-operational administrative issues (such as benefits and salaries) of deployed uniformed contingent personnel and units. Administrative control over uniformed contingents and units is exercised by an NCC deployed within the mission area. This authority is limited to administrative matters and must not adversely influence the management and conduct of United Nations operations within a mission area.

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[36] See paragraph 48 of this policy.

[37] As a rule, FPUs should not be split, as this can negatively affect command and control, discipline, managerial accountability and logistics.

[38] The HOPC is accountable to the HOM for the good conduct and discipline of United Nations police personnel. The discipline of police personnel all having the status of "Experts on Mission", comes under the authority of Police Contributing Countries. Nonetheless, the United Nations may take action in accordance with the United Nations Directive for Disciplinary Matters involving Civilian Police and Military Observers, including conducting investigations. The United Nations may take measures for the repatriation of Experts on Mission. The exercise of the disciplinary authority by Police Contributing Countries shall not preclude or interfere with the requirement that the United Nations conducts its own inquiries in instances involving loss of life or serious injuries to United Nations personnel or third parties or loss or damages to UNOE, COE or third-party property or in other applicable circumstances as defined, for instance, in the Standard Operating Procedure on Boards of Inquiry (Ref.2016.05 or its successor).

53. Outside the operational chain of command, the HOMC and HOPC shall establish a coordination chain with the Member State-designated NCC. Uniformed personnel assigned to serve under "UN operational command and control" must not act on national direction or instruction. As such, they are not under national operational control. If uniformed personnel receive instructions from national authorities, they must immediately inform their United Nations chain of command. If such instructions are contrary to United Nations orders, instructions, directions or policies, the mission will report them immediately to UNHQ who will take the issue up, as required, with the contributing Member State.

54. In the event an NCC is unable to resolve a military employment issue within the mission (through the HOMC and then HOM) the officer may submit the issue to the contributing Member State for consideration, which may involve national discussions with the USG DPO, through appropriate DPO staff.[39]Equally the HOMC, through the HOM, may raise the issue to the USG DPO. In the event an NCC is unable to resolve a police employment issue within the mission (through the HOPC and then HOM) the officer may submit the issue to the contributing Member State for consideration, which may involve national discussions with the USG DPO, through appropriate DPO/Police Division staff. Equally the HOPC, in consultation with the United Nations Police Adviser and through the HOM, may raise the issue to the USG DPO.

D.5 Civilian Reporting Arrangements

55. The HOM, in consultation with senior mission leadership, determines the reporting relationships within their respective mission organizational units, in compliance with UNHQ policies.[40] At the field office/sub-national level, the Head of Field Office represents the HOM and usually reports to the HOM through the COS. However, the primary reporting line for the Head of Field Office may vary, according to the structure of the mission, including to the HOM through a DSRSG.[41]Human rights staff have a primary reporting line to the Head of Field Office on day-to-day matters, but their performance is evaluated by the Head of Human Rights Component as First Reporting Officer and Head of Field Office as Second Reporting Officer.[42]

D.6 Mission Support Component Tasking Authorities

D.6.1 Service Delivery, Supply Chain Integration and Management

56. The United Nations is required to maintain a mission support system that integrates military and police logistical enabling support assets contributed by Member States to the United Nations, as well as civilian assets, and commercially contracted assets to provide support to the mission. All mission support functions, regardless of their origin, are considered common to the mission. These resources must be made available on a uniform and equitable basis, depending on priorities determined by the

[39] A "military employment issue" may arise as a result of differences in the way a military unit, or personnel, is utilized by the United Nations relative to how national military doctrine (or guidance) would dictate. This may concern, for example, tasks to be performed, disposition of military unit or personnel, or conflict with rules of engagement.

[40] Some heads of mission organizational units may maintain technical reporting lines to UNHQ support structures. The Head or Chief of UNMAS may establish a technical reporting line to the Director of UNMAS in DPO and the D/CMS may maintain a technical reporting line to the USG/DOS. These technical reporting lines are secondary and subordinate to the management reporting line within the Mission Headquarters. The Head of the Human Rights Component has dual reporting obligations vis-à-vis the HOM and the High Commissioner for Human Rights.

[41] The managerial structures of the civilian mission organizational units are designed in the form of offices and staff tables within the mission's budget as approved by the General Assembly. Any adjustments to these arrangements should be reflected through the standard budgeting process of the mission.

[42] See OHCHR/DPKO/DPA/DFS Policy on Human Rights in Peace Operations and Political Missions (2011).

HOM, irrespective of whether the provider of the goods or service is military, United Nations civilian or contractor.

57. The management of logistical support is integrated under the D/CMS.[43] The purpose of this arrangement is to provide efficient administrative and logistics support to the mission through the optimization of mission resources.[44] The D/CMS is supported by the Chief for Operations and Resource Management, the Chief for Service Delivery Management and the Chief for Supply Chain Management. These three chiefs report directly to the D/CMS and can serve as Officer-in-Charge in the absence of the D/CMS.

58. The Chiefs of Service Delivery and Supply Chain Management provide supervision over the mission's civilian, commercial, police and military logistics support resources. Prioritization of resource allocation should be made based on decisions of the MLT and informed by an integrated Mission Support Plan. The Mission Support Plan is based on the Mission Concept and aligned with the Military and/or Police Concept of Operations. The Mission Support Plan is elaborated by the D/CMS, in consultation with all mission organizational units, and includes the mission planning assumptions, demand plan in terms of goods and services requirements, as well as sourcing and delivery options to meet the mission's timelines for mandate delivery.

59. The Deputy Chief Service Delivery is a seconded military or police officer on a United Nations letter of appointment. The Deputy Chief Service Delivery reports to the Chief Service Delivery and deputizes for the Chief Service Delivery in their absence. The D/CMS should be Second Reporting Officer, while the HOMC or HOPC, as appropriate, is Additional Reporting Officer. Civilian and uniformed officers should be integrated at all levels of the Service Delivery and Supply Chain Management structures. The deputy position for the section chiefs under Service Delivery shall be filled by a military/police staff officer especially if the section has military or police enabling asset(s).

D.6.2 Tasking Authority for Mission Assets

60. Tasking authority is vested in specified senior mission leaders (HOMC, HOPC, or D/CMS) and includes the authority to assign tasks to mission enabling assets and deploy, redeploy and employ all or part of a mission enabling asset.[45] Mission enabling assets are considered "whole of mission" assets because their capabilities are required by all mission organizational units and consolidated tasking allows maximum utilization.

61. The tasking of mission enabling assets should be guided by an integrated approach to planning and resource allocation, informed by mandate priorities determined by the HOM and mission-wide priorities informed by the mission resource allocation structure, described in paragraph 22 of this policy. It is the responsibility of the HOM to ensure an accountable and cooperative approach to tasking and resource allocation in the mission.

62. The D/CMS, as delegated by the HOM, is responsible and accountable for the effective utilization and tasking of all United Nations commercial/military mission enabling assets. The MSC (or equivalent section/office in MSD) is the mission integration and control mechanism responsible for ensuring the coordinated implementation of mission priority tasks, including the necessary resources.

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[43] The exception is the intimate logistics support provided by organic capacity within a unit (known as first line support).
[44] See DFS Interim Supplementary Guidance on Mission Support Organizational Structures for Small and Large Peacekeeping Missions (2017).
[45] Enabling assets consist of construction engineer units, Unmanned Aerial Systems, manned airborne ISR aircraft, enabling assets with composite engineer units, medical, utility and cargo military aircraft, logistics units, signal, transportation and movement units and supply. The classification of these units is agreed in the Statement of Unit Requirement (SUR), MOU/Letter of Assist (LOA) prior to deployment.

63. Planning, coordination, and scheduling of all mission aviation assets is managed through the MAOC in compliance with the mission priorities, as determined by the HOM, to ensure final coordination amongst the necessary mission components and appropriate oversight and support is provided.[46]

64. The HOMC exercises sole tasking authority over all combat units, i.e. attack helicopters and combat engineers. Tasking is done in coordination with and/or through the MSC and MAOC, as necessary.[47]

In Extremis Tasking Authority for Mission Assets

65. All missions shall establish standing approval procedures for tasking of mission enabling assets on short notice in times of operational urgency (e.g. deployment of Quick Reaction Forces, high-risk operations launched on short notice), and process for CASEVAC (in accordance with the CASEVAC Policy) to be communicated by the MLT to all mission organizational units.[48] In larger missions, which may have Field Offices and/or military sector HQs at sub-national level, authority for CASEVAC operations should be decentralized and delegated to these offices and HQs, where appropriate. The Mission Health Support Plan and CASEVAC SOP must articulate where delegated launch authorities within the CASEVAC system rest in the mission.

D.7 United Nations Mine Action Service (UNMAS)

66. The Head or Chief of UNMAS in a mission is responsible for ensuring mine action activities, including risk education, survey, clearance, explosive ordnance disposal (EOD) and improvised explosive device disposal, are carried out in a manner consistent with, and adhering to, relevant international and national standards and United Nations guidance and doctrine.[49] All tasks should adhere to provisions outlined in the COE MOU, International Mine Action Standards (IMAS), United Nations EOD Unit Manual and United Nations Improvised Explosive Device Disposal Standards (UNIEDDS).

67. The Head or Chief of UNMAS shall advise and direct the United Nations civilian and military mine action effort on behalf of the HOM, except in cases of efforts committed solely to military operations, which are the responsibility of the HOMC. Prioritization of resource allocation should be made based on decisions of the MLT and informed by the Mission Support Plan. The Head or Chief of UNMAS acts as an advisor to the HOMC on accreditation and standards related to quality and tasking of the mine action related output and advises military units on the standards related to quality and tasking. UNMAS also advises military units on the standards and requirements pertaining to EOD and IEDD as established by the MOU, the COE Manual, IMAS, EOD Unit Manual and UNIEDDS Standards.

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[46] The MAOC is the mechanism for mission integration, control and coordination described in Section D.8 of this policy.

[47] The term combat support refers to the provision of specialized support to combat units in the areas of combat operations, to include fire support, combat engineering, EOD, troop insertion or delivery of resupply into an ongoing hostile fire area. Combat support assets include combat aviation, UAS/Remotely Piloted Aircraft Systems; aircraft used exclusively for combat support tasks such as intelligence, reconnaissance and surveillance (ISR), combat engineers, explosive ordnance disposal (EOD) and ISR units. The classification of these units is agreed in the MOU/LOA prior to deployment.

[48] The HOM is responsible to ensure that an integrated CASEVAC system is in place and the mission has the necessary administrative and logistical support to conduct CASEVAC operations. The HOM must ensure that all mission personnel are aware of their authorities, roles and responsibilities within the CASEVAC system, through the conduct of regular exercises of the system. The HOM shall designate a Senior Leader responsible for the overall ownership/management of the CASEVAC system. This will be typically be the D/CMS. See DPO/DOS/DPPA/DSS Policy on Casualty Evacuation in the Field (2019).

[49] The Chief or Head of UNMAS shall be available for advice on the capabilities required to ensure the safe storage of weapons and ammunition under mission control or in integrated mission bases, in line with international standards and best practices. In the event of a requirement for the destruction of weapons and/or ammunition due to seizure, expiration of serviceability, excess quantities being held, liquidation of mission or other reason, the Chief or Head of UNMAS will advise on best practices for physical storage stockpile management, weapons and ammunition management and weapons and ammunition destruction.

68. The Head or Chief of UNMAS can advise the HOM on the required training standards and levels of qualifications, as outlined in the COE MOU, UNIEDDS, EOD Unit Manual, United Nations Engineers Unit Manual and other UNITS Training Material and qualifications related to mine clearance, EOD, UNIEDDS, High Risk Search and Search and Detect Activities.

69. The Head or Chief of UNMAS exercises tasking authority over all civilian mine action personnel temporarily assigned to explosive threat advisory roles supporting military operations.

D.8 Mission Integration and Control Arrangements

70. Mechanisms for integration and control have been established for missions to facilitate the achievement of mission objectives. These are supported administratively either by the COS, or D/CMS. These include:

- Mission Leadership Team;
- Security Management Team;
- Mission Planning Unit;
- Joint Operations Centre;
- Joint Mission Analysis Centre;
- Mission Peacekeeping-Intelligence Coordination Structure;[50]
- MSC, MAOC, or other integrated sections/offices in MSD, or equivalent; [51]
- Crisis Management Team;
- COE/Memorandum of Understanding Management Review Board;
- Integrated Mission Training Centre; and [52]
- Coordination Mechanisms at Tactical Level.

71. Mission-wide integration and control arrangements are explained in more detail below.

D.8.1 Mission Leadership Team (MLT)

72. The HOM shall establish an MLT to set strategies and policy priorities and communicate intent throughout the mission. The MLT facilitates coordination and decision-making and provides direction, oversight and monitoring of sectoral and thematic strategies, or other priorities determined by the mission mandate. The MLT should meet regularly and be chaired by the HOM and, in their absence, the Officer-in-Charge. The MLT may include ex-officio members and members who attend to provide

[50] The HOM shall designate a civilian Chair of the Mission Peacekeeping-Intelligence Coordination Mechanism, preferably the COS, to serve as the primary link between MLT decision-making processes and the mission's peacekeeping-intelligence cycle. See DPO Policy on Peacekeeping Intelligence (2019).

[51] The MAOC is a mechanism for integration and control located within the Aviation Section, Service Delivery Management Pillar of the MSD. The MAOC is comprised of civilian and uniformed United Nations personnel. The Chief Aviation Officer (CAVO) is First or Second Reporting Officer for all United Nations personnel assigned to the MAOC, or Air Operation units at the tactical level of a mission. The CAVO exercises tasking authority over all United Nations personnel assigned to the MAOC.

[52] The Integrated Mission Training Centre (IMTC) is responsible for the development and implementation of an integrated Comprehensive Mission Training Plan, on behalf of the MLT. The IMTC is comprised of United Nations civilian, military and police personnel. The Chief IMTC has a primary reporting line to the D/CMS and technical reporting line to the Integrated Training Service at UNHQ. The Chief IMTC is First or Second Reporting Officer for all United Nations personnel assigned to the IMTC and exercises tasking authority over all United Nations personnel assigned to the IMTC.

briefings. The need for inclusive decision-making should be balanced against the need for a restricted group for sensitive decisions and the efficiency of the decision-making process.

D.8.2 Security Management Team (SMT)

73. The DO for Security chairs the SMT. The SMT contributes to the Security Risk Management process and provides advice and support to the DO for Security in the discharge of their mandate related to the safety and security of all United Nations personnel and their dependents in the mission area. The SMT shall normally comprise of the head of each United Nations organization in the host country and from within the peacekeeping mission should include: the COS, D/CMS, HOMC, HOPC, P/C/SA and others, as specified by the DO for Security.[53]

74. ASCs are appointed by the DO for Security, in consultation with the SMT, in areas of larger countries which are separated from the capital in order to coordinate and control security arrangements applicable to all United Nations personnel, premises and assets in their areas of responsibility. The ASC chairs the Area Security Management Team (ASMT). The ASMT consists of the head of each United Nations organization present at the duty station and the Regional Security Adviser/Officer. Uniformed commanders serving in the ASC's area of responsibility will be ASMT members. ASCs are accountable to the DO for Security for their security management responsibilities as outlined in the Framework of Accountability of the UNSMS.

D.8.3 Mission Planning Unit (MPU)

75. The MPU is responsible for initiating, organizing and leading mission-wide planning processes under the guidance of the HOM and COS. These may include:

- Strategic and programmatic level mission planning including the development, coordination and implementation of a Mission Plan. The Mission Plan translates the strategic guidance in the Mission Concept into an operational plan spanning all priority areas of the mission's work.[54]
- Political guidance for mandate implementation and mission-wide direction set by the HOM;
- United Nations system-wide assessment and planning frameworks, such as the ISF (or equivalent), UNSDCF and Humanitarian Response Plan, as appropriate;
- Coordination of mission-wide contingency plans;
- Development and coordination of the results-based budget framework associated with mission budget development to ensure that substantive objectives are supported by resources;
- Implementation of CPAS within the mission; and
- Coordination or support to the peacekeeping-intelligence planning process.

76. The HOM and COS should ensure the MPU receives support from the DSRSGs, HOMC, HOPC,

[53] The P/C/SA serve as adviser to the DO for Security and the SMT on all aspects of security management for the protection of personnel covered under the UNSMS. The roles and responsibilities of SMT members are detailed in the Framework of Accountability of the UNSMS.

[54] The Mission Plan serves as a tool for integrating the different mission organizational units by articulating how the components should contribute to overall strategic priorities and objectives, incorporating cross-cutting strategies such as the Protection of Civilians, human rights, gender, or other thematic strategies, as appropriate.

D/CMS and other senior managers and can enable planning across all mission organizational units.

77. The MPU may be integrated to include substantive and non-substantive civilian and uniformed United Nations personnel on a temporary or permanent basis, if needed. In an integrated mission setting, planning capacity of the UNCT may be co-located with the MPU, particularly during United Nations transitions. The Head of the MPU is First or Second Reporting Officer for all United Nations personnel assigned to the MPU and exercises tasking authority over all United Nations personnel assigned to the MPU.

D.8.4 The Joint Operations Centre (JOC)

78. The JOC is an integrated entity supporting mission decision-makers through the provision of integrated situational awareness through routine and special incident reporting, the facilitated planning and coordination of operations and support to crisis management (see Section D.8.1 of this policy), in accordance with the DPO Policy and Guidelines on Joint Operations Centers (2019).[55] JOCs and JMACs shall align their activities to avoid any gaps and overlap in the provision of situational awareness and analysis support to mission leadership.

79. Mission organizational units contribute civilian and uniformed United Nations personnel to the JOC, ensuring that appropriate expertise is made available for the effective integration of mission operations.[56] The Chief JOC is First or Second Reporting Officer for all United Nations personnel assigned to the JOC and exercises tasking authority over all United Nations personnel assigned to the JOC.

80. The Chief JOC shall establish mission specific SOPs, or arrangements, to guide JOC integrating responsibilities in accordance with UNHQ policy and guidance. The JOC collates reports received from all sources and ensures these are de-conflicted and disseminated in accordance with guidance from the COS. The Chief JOC ensures the JOC serves as a decision-support and planning-support tool for the HOM and the MLT.

81. During crises, the JOC supports mission crisis management coordination mechanisms. Acting as the primary 24/7 link between UNHQ via the United Nations Operations and Crisis Centre (UNOCC) and the mission during crisis activation, the Chief JOC is responsible for providing integrated information to UNHQ, supports the HOM in conducting the Crisis Management Team (CMT) and facilitates integrated operations coordination within the mission.[57] The Chief JOC may be tasked to facilitate the mission's crisis preparedness, including through supporting crisis management simulation exercises.

82. Missions may establish permanent or temporary JOCs at the regional (or sector/team site) level. The JOC is responsible for the provision of technical advice and liaison with regional JOCs, if present, and for ensuring that such liaison is undertaken in consultation with the respective Head(s) of Field Office.[58] Regional JOCs compromise of civilian and uniformed United Nations personnel and

[55] In accordance with the DPO Policy and Guidelines on Joint Operations Centers (2019), situational awareness is defined as the knowledge, understanding and anticipation of a situation through monitoring and reporting of current events, and analysis and predictive assessments.
[56] To facilitate information flow, the JOC shall be co-located with relevant operational, monitoring, reporting and communication centers of the mission, such as the Military Operations Centre, the Police Operations Centre and the Security Operations Centre (SOC). Certain missions may not have a SOC, but a Security Information and Operations Centre, or an equivalent security entity, which includes a mission radio room. See DPO Guidelines on Joint Operations Centers (2019).
[57] The CMT is described in Section D.8.1 of this policy.
[58] The establishment of regional JOCs and its reporting line to the JOC at mission HQ shall be at the discretion of the HOM, upon the recommendation of the Chief JOC and the regional Head of Field Office, through the COS.

contribute to regional integrated situational awareness and reporting, support crisis response efforts and facilitate integrated operations coordination.

D.7.5 Joint Mission Analysis Centre (JMAC)

83. The JMAC is responsible for collecting and analyzing multi-source information, including peacekeeping-intelligence related material to produce integrated analysis and predictive assessments in support of MLT decision-making, contingency planning and crisis management.[59] Mission organizational units shall contribute civilian and uniformed United Nations personnel to the JMAC, ensuring that appropriate expertise is made available for the effective acquisition, collation, analysis, coordination and dissemination of intelligence products.[60]

84. The Chief JMAC ensures that the JMAC serves as a decision-support and planning-support tool for the HOM and MLT in implementing the mission's mandate. The Chief JMAC, in consultation with the HOM and the MLT, shall establish mission information requirements to guide JMAC tasking, analysis and reporting.[61]The HOM and COS are responsible for ensuring that critical information on risk and threats is passed in a timely manner to all mission organizational units. The Chief JMAC is First or Second Reporting Officer for all United Nations personnel assigned to the JMAC and exercises tasking authority over all United Nations personnel assigned to the JMAC.

D.7.6 Mission Support Centre (MSC)

85. The MSC is a joint civilian/uniformed unit within the Operations & Resource Management (ORM) pillar of the MSD. The MSC provides an interface for integrated and logistical support to the mission. The Chief MSC reports to the Chief ORM and manages the tasking and coordination of all requests for logistics and support, on behalf of the D/CMS. All logistics and support requests must be submitted to the MSC for appropriate action. The D/CMS, Chief ORM and Chief MSC, in consultation with the MLT, shall guide MSC tasking and regularly review the prioritization of mission support activities. The Chief MSC is First or Second Reporting Officer for all United Nations personnel assigned to the MSC and exercises tasking authority over all United Nations personnel assigned to the MSC.

86. The HOM shall ensure that appropriate mechanisms are established to coordinate the work of the mission and to ensure unity of effort of the mission and other United Nations actors at sub-national level.

D.8 Crisis Management Arrangements

87. Although the host government has primary responsibility for the protection of United Nations personnel and property, missions must have in place the necessary crisis management arrangements to manage their own safety and security and have the capacity to respond in an integrated manner during crises. Crisis management arrangements must reinforce existing command and control systems and should in no way undermine them. Crisis management arrangements at mission level should be aligned with the United Nations system wide Crisis Management Policy (2018)

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[59] See DPO Policy on Peacekeeping-Intelligence (2019).
[60] The JMAC Policy and Guidelines (2015) identifies criteria justifying the establishment of an integrated analysis cell in a peacekeeping mission. The DPKO-DFS JMAC Field Analysis Handbook (2018) details the organization and coordination of the cell.
[61] In accordance with DPKO JMAC Policy (2015) and the DPKO-DFS JMAC Field Analysis Handbook (2018).

and the subordinate DPKO-DFS SOP on Headquarters Crisis Response in Support of Peacekeeping Operations (2016) and subsequent amendments, if applicable.[62]

D.8.1 Crisis Management Team (CMT)

88. The CMT is established in missions and at UNHQ when crisis response procedures are activated.[63] The CMT shall be activated by decision of the HOM (or Officer-in-Charge) and, in their role as designated Crisis Manager, should be convened immediately in the event of a crisis. The CMT is a leadership-level, cross-mission decision-making body chaired by the HOM (or designated person in the mission) and the USG DPO, or designated person at UNHQ.

89. All missions shall have a pre-assigned CMT. The composition of the CMT shall be determined by the Crisis Manager in accordance with paragraph 31 of the DPKO-DFS SOP on Headquarters Crisis Response in Support of Peacekeeping Operations (2016) and subsequent amendments, if applicable.

90. The CMT is supported by an Operations Coordination Body (OCB), also referred to as Crisis Management Working Group. The OCB is a working-level, cross-mission body responsible for supporting the CMT in all relevant tasks, such as supporting crisis response activities, making policy recommendations and ensuring common messaging. When crisis response procedures are activated and a CMT is established, a senior mission leader designated by the HOM (normally the COS) is appointed Crisis Coordinator. The Crisis Coordinator chairs the OCB and acts as the link with the CMT to ensure that crisis management objectives are established and achieved. Existing coordination bodies are encouraged to assume this OCB role during crisis to avoid a proliferation of intra-mission coordination mechanisms. A parallel OCB is also simultaneously established at UNHQ.

91. The COS is responsible for ensuring that core crisis management personnel understand the mission's crisis-related measures, including authorities, roles and responsibilities. Periodic scenario-based exercises should be conducted with senior mission personnel, in collaboration with the IMTC, to ensure the CMT and OCB understand the crisis-related measures and how they are operationalized.

92. The Chief JOC supports the HOM in running the CMT, facilitates integrated operations coordination within the mission, and acts as the 24/7 link between UNHQ via the UNOCC and the mission during crisis activation. The JOC provides secretariat support for CMT and/or OCB meetings, ensures 24/7 monitoring and regular reporting on the crisis, acts as the sole information hub for all crisis-related information, and keeps UNHQ updated via the UNOCC. In missions without a JOC, the HOM shall establish an alternative designated structure to serve as a 24/7 integrated information and reporting focal point and as the secretariat for the CMT for the duration of the crisis.

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[62] In line with United Nations system wide Crisis Management Policy (2018), in the event of a safety and security crisis, the DO for security retains accountability for specific decision-making in accordance with the UNSMS Framework of Accountability and relevant UNSMS policy guidance including the Guidelines on Management of Safety and Security Crisis Situations.

[63] As the situation in a mission area rapidly and significantly deteriorates or in the event of the sudden onset of a crisis, the Integrated Operational Team at UNHQ, in consultation with the UNOCC and the mission leadership, shall recommend to the USG/DPO the activation of crisis response procedures for accelerated and streamlined decision-making, operational coordination, information flow, and communication spanning the Pillars of the United Nations. Following a decision by the USG/DPO on the activation of crisis response procedures, the USG/DPO shall inform the HOM and the DOs, as well as the UNOCC. In turn, the UNOCC shall notify relevant actors in the United Nations system. See DPKO-DFS SOP on Headquarters Crisis Response in Support of Peacekeeping Operations (2016).

D.8.2 Integrated Contingency Plans

93. The HOM is responsible, through the COS, for ensuring that integrated contingency plans that are both responsive and practical are developed by mission organizational units at mission start-up. Contingency plans must be reviewed and rehearsed at all levels of the mission on a regular basis.

94. The HOM should ensure that contingency plans allow for delegation of decision making at lower levels within the respective mission organizational units during crisis situations, given the unreliability of communications and difficulty of issuing detailed instructions. All mission organizational units' contingency plans must be harmonized with each other and those of United Nations Agencies, Funds and Programmes and the national authorities, particularly at tactical level. Integrated local contingency planning will enable United Nations personnel to respond quickly to implement the local contingency plan and take appropriate action to protect United Nations personnel, civilians, other eligible persons, assets or property. JOCs and JMACs can assist with these efforts, as necessary.

D.9 Joint Military-Police Coordination

95. The HOM, through the HOMC and HOPC, is responsible for ensuring that command and control arrangements are developed between the uniformed components at mission start-up. As a rule, the personnel, units and sub-units from one uniformed component should not be placed under direct supervision, or tactical control of a different uniformed component. However, during crises or critical incidents a uniformed unit, or sub-unit, of one uniformed component may be placed temporarily under the operational command of the other uniformed component.[64] The tactical control over any personnel, units and sub-units so placed will be exercised through the chain of command of the other uniformed component at the site of an incident.[65]

96. Under specific conditions and with the approval of the HOM, United Nations police and military personnel may serve together in a task force under a unified and centralized structure commanded by a senior United Nations police officer designated by the HOPC, or a senior United Nations military officer designated by the HOMC.[66] The task force commander will be responsible for leading the joint task force's daily operations and operational control in the specified area of an operational box. This type of command structure may only be initiated with the approval of the HOM and would not apply to the operational control of police or military personnel outside the specified operational box.[67]

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[64] The main (but not the only) scenarios envisaged in United Nations peacekeeping missions that may require such transfer of operational command between the police and military are situations of escalating public disorder, the protection of civilians and the security of United Nations bases, where the threat, exposure and necessity assessment of the situation is beyond the capabilities and capacities of the particular uniformed component. See DPO-DOS Guidelines on Military and Police Coordination Mechanisms in Peace Operations (2019). In case of joint operations to address situations of public disorder with personnel of FPUs and military components, with or without other security personnel of the mission, the arrangements described in the DPKO-DFS Policy on Formed Police Units in United Nations Peacekeeping Operations (2016) will take effect. For further information pertaining to the cooperation between members of these police units and military components of the mission to address situations of public disorder, consult paragraphs 51 to 54 of the DPKO-DFS Policy on Formed Police Units in United Nations Peacekeeping Operations (2016) and DPKO-DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions (2015) and DPO-DOS Guidelines on Military and Police Coordination Mechanisms in Peace Operations (2019).

[65] See DPO-DOS Guidelines on Combined Military and Police Coordination Mechanisms in Peace Operations (2019).

[66] A mission-specific SOP shall determine the conditions of the task force coordination.

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

97. In the context of joint or coordinated operations with Host-State national security agencies, these authorities should be consulted in the planning and execution of operations, with some exceptions.[68] Under no circumstances shall United Nations military or police personnel be placed under the tactical command or control of host-State military, police, or other law enforcement agencies. All United Nations support to non-United Nations security forces shall be implemented in compliance with the United Nations Human Rights Due Diligence Policy on Support to non-United Nations Security Forces (2013).

D.9.1 Military Rules of Engagement and Police Directives on the Use of Force

98. At the commencement of a mission, a technical directive is issued by UNHQ to the uniformed components, which provides the authority that can be exercised by individual members and units of these components in the use of armed and unarmed force to safeguard and implement the mandate of the mission. For military members of national contingents assigned to the military, the directive is known as the "Rules of Engagement" (ROE) and for the police component the "Directive on Detention, Searches and the use of Force (DUF)".[69]The HOM is responsible for ensuring that the HOMC and HOPC fulfil the duties and responsibilities assigned to them in these instruments, consistent with the mandate. The HOM should liaise with the HOMC and HOPC in relation to any allegations of violations or failure to implement the RUF, or DUF, in relation to allegations of violations on the use of force. The HOMC and HOPC are responsible for ensuring that armed members of their respective components are trained and familiarized with the ROE and DUF. The HOMC and HOPC must ensure that uniformed commanders at all levels of the mission regularly conduct exercises for that purpose.

D.10 AC2 with Non-United Nations Organizations

99. Non-United Nations organizations may operate in United Nations mission areas. These circumstances may impact normal AC2 arrangements. Where the mission is mandated to work in partnership with a field presence of another organization or a State, the present policy applies except where alternative AC2 arrangements have been agreed by the United Nations and the other organizations or State and set out in a MOU or similar written agreement or arrangement.

E. TERMS AND DEFINITIONS

100. United Nations Operational Authority. The authority transferred by the Member States to the United Nations to use the operational capabilities of their national military contingents, units, FPUs and individual military and police personnel to undertake mandated missions and tasks. United Nations Operational Authority over such forces and personnel is vested in the Secretary-General and through him in the head of a specific mission, under the authority of the Security Council. The Secretary-

[68] The exceptions include highly sensitive operations where it is suspected that intelligence may be leaked in advance, or where peacekeeping missions have a protection of civilian's mandate and obliged to protect the local population including from threats that may emanate from the host State. In such circumstances, decisions about the involvement of host State police and military authorities should be made on a case-by-case basis and coordination with the host State conducted separately from mission preparations.

[69] The DPKO-DFS Interim SOP on Detention in United Nations Peacekeeping Operations (2010) sets out the procedures, roles and responsibilities within the mission when individuals are detained (one form of use of force) in accordance with ROEs and DUFs. A Detention Focal Point is appointed by the HOM and reports directly to the HOM on all detentions of individuals by a mission.

General exercises that authority under the overall authority of the Security Council. United Nations Operational Authority involves the full authority to issue operational directives within the limits:

- of a specific mandate of the Security Council;
- an agreed period, with the stipulation that an earlier withdrawal of a contingent would require the contributing country to provide adequate prior notification; and
- a specific geographic area (the mission area as a whole).

101. United Nations Operational Command and Control. The authority delegated to a Military or Police Commander for the direction, coordination and control of uniform personnel under his or her command. Operational command and control includes the authority to assign tasks, designate objectives and give direction to individual uniformed personnel, units and sub-units necessary to accomplish the mission.
102. United Nations Tactical Command and Control. The authority delegated to a Military or Police Commander to assign specific tasks to forces under his or her command for the accomplishment of the mission assigned by a higher authority. Tactical control is limited to the detailed and usually local direction and control of movements and activities necessary to accomplish the assigned tasks. It may be delegated to and exercised at the level of subordinate sector and/or unit commanders.

103. Administrative Control. The authority over subordinate or other organizations within national contingents for administrative matters such as personnel management, supply, services and other non-operational missions of the subordinate or other organizations. Administrative Control is a national responsibility given to the NCC in a peacekeeping mission.

104. Tasking Authority. The authority vested in specified senior mission leaders (HOMC, HOPC, or D/CMS) to assign tasks to mission enabling assets and deploy, redeploy and employ all or part of an enabling asset to achieve the mission's mandate.

105. Technical Reporting. A secondary reporting line for informational and technical purposes on matters not relating to the command and control of operations, or to national administrative control. It is an informational and technical advisory communication link that should in no case circumvent the primary reporting line and command/supervisory relationships, through which formal direction and tasking is issued. Technical reporting lines must be transparent and formalized in approved documentation (e.g. Secretary-General's Bulletins, Inter-organizational agreements, etc.).

F. REFERENCES

Superior References

- Secretary General's Bulletin: Observance by United Nations Forces of International Humanitarian Law ST/SGB/1999/13).
- Secretary General's Memorandum on United Nations Crisis Management Policy (2016).
- Secretary-General's Note of Guidance on Integrated Missions (2006).
- Secretary-General's Decision on Integrated Missions dated 26 June 2008 (Decision No. 2008/24 – Integration).
- Secretary-General's Bulletin on special measures for protection from sexual exploitation and sexual abuse, (ST/SGB/2003/13).

- Secretary-General's Bulletin on Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission (2002).
- General Assembly resolution 73/196 of 20 December 2018 on criminal accountability of United Nations officials and experts on mission.
- Model Memorandum of Understanding for Troop Contributing Countries and Model Memorandum of Understanding for Police Contributing Countries (both currently contained in the 2017 COE Manual, A/72/288, Chapter 9).
- Secretary-General's Bulletin on delegation of authority in the implementation of the Staff and Financial Regulations and Rules (ST/SGB/2019/2).
- United Nations Military Manual (2019).

Related Directives and References

- DPKO-DFS Interim SOP on Detention in United Nations Peacekeeping Operations (2010).
- DPKO-DFS Policy on Guidance Development (2014).
- DPKO-DFS SOP on Guidance Development (2014).
- DPA/DPKO/DFS Policy on Accountability for Conduct & Discipline in Field Missions (2015).
- DPKO-DFS SOP on Implementation of amendments on conduct and discipline in the model Memorandum of Understanding between the United Nations and Troop Contributing Countries (2011).
- DPKO-DFS SOP on Boards of Inquiry (2016).
- DPKO-DFS Guidelines on the Use of Force by Military Components in United Nations Peacekeeping Operations (2017).
- DPKO-DFS Guidelines on Police Command in Peacekeeping Operations and Special Political Missions (2015).
- Manual on Policies and Procedures concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (2017).
- DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014).
- Directive for Heads for Heads of Police Components of Peacekeeping Operations (2006).
- DPKO-DFS Policy on Gender Responsive UN Peacekeeping Operations (2018).
- DPKO-DFS Policy on Formed Police Units in United Nations Peacekeeping Operations (2017).
- Directive to the Head of the Military Component in a DPKO led Peacekeeping Operation or Field Mission (2008).

- DPKO-DFS Guidelines on United Nations Military Observers (UNMO) in Peacekeeping Operations (15 March 2017).
- DPKO-DFS Policy on National Support Element (2015).
- DPO Policy and Guidelines on Joint Operations Centers (2019).
- DPKO-DFS Policy on Joint Mission Analysis Centers (2015).
- DPO Policy on Peacekeeping Intelligence (2019).
- DPKO-DFS JMAC Field Analysis Handbook (2018).
- UN Policy on Integrated Assessment and Planning (2018).
- DPKO-DFS Policy on Planning and Review of Peacekeeping Operations (2017).
- United Nations Security Management System Policy on the Framework of Accountability (4 February 2011.Technical Review: 1 May 2017).
- DPO/DOS/DPPA/DSS Policy on Casualty Evacuation in the Field (2019).
- DFS Supplementary Guidance on Mission Support Structures (2017).
- DFS Guidance on Mission Support Structures (2014).
- DPO SOP on Integrated Reporting from Peacekeeping Operations to UNHQ (2019).
- UN Crisis Management Policy (2018).
- DPKO-DFS SOP on Headquarters Crisis Response in Support of Peacekeeping Operations (2017).
- DPKO-DFS Aviation Manual (2018).
- DPO-DOS Guidelines on United Nations Use of Unmanned Aircraft Systems Capabilities (2019).
- DPO-DOS Guidelines on Combined Military and Police Coordination Mechanisms in Peace Operations (2019).
- United Nations Security Management System, Security Policy Manual (as continuously updated and amended).
- UN Human Rights Due Diligence Policy on Support to non-UN Security Forces (2013).
- UN Secretariat Policy on the Organizational Resilience Management System (2015).
- DPKO/DFS Guidelines on Military Support for Public Order Management in Peacekeeping Missions (2016).
- OHCHR/DPKO/DPA/DFS Policy on Human Rights in Peace Operations and Political Missions (2011).

G. MONITORING AND COMPLIANCE

106. Senior leaders within UNHQ (DPO and DOS) and United Nations peacekeeping missions will monitor and ensure compliance with this policy. All senior leaders within United Nations peacekeeping missions are to ensure implementation of this policy. This policy shall have primacy if a discrepancy is identified between this and other DPO-DOS guidance documents that relate to authority, command and control in United Nations peacekeeping operations.

107. The Director of Peacekeeping Strategic Partnerships shall monitor and report on compliance with this policy through periodic inspections.

H. DATE OF EFFECT

108. This policy shall be effective from 25 October 2019. The policy shall be reviewed no later than 25 October 2021.

I. HISTORY

109. This policy was approved by the USG of DPO and DOS on 25 October 2019 and as per USG DPO and USG DOS directions has subsequently been coordinated fully with all peacekeeping operations and internally within DPO and DOS. Comments received from missions, including internal DPO and DOS comments as a result thereof, have been compiled, analyzed and incorporated in this policy. Duly approved by the USGs of DPO and DOS, this policy supersedes the DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations, dated 15 February 2008.

APPROVAL SIGNATURE:

DATE OF APPROVAL: 25/x/19

APPROVAL SIGNATURE:

DATE OF APPROVAL: 24.10.19