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Guidelines

The role of United Nations police in protection of civilians

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DPKO/DFS GUIDELINES ON
The role of United Nations police in protection of civilians

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A. PURPOSE

1. These guidelines are designed to assist United Nations (UN) police in effectively implementing protection of civilians (POC) mandates in peace operations as a critical element in the comprehensive, whole of mission approach to POC and the wider UN system's approach to protection.

B. SCOPE

2. These guidelines apply to police components of United Nations peace operations with POC mandates, as well as staff members of the Departments of Peacekeeping Operations (DPKO) and Field Support (DFS). Further, they may be useful to police components in all peace operations to inform their broader capacity-building in support of prevention, peacebuilding, and peace sustainment.

3. The guidelines are aimed at mission and police planners in UN headquarters and at Heads of Police Components (HOPCs) and their senior management team, all Individual Police Officers (IPOs) and formed units including, inter alia, formed police units (FPUs), protection and support units (PSUs) and specialized teams, civilian experts deployed within police components, all staff within the Police Division, as well as other actors involved in developing or implementing comprehensive POC strategies, and describe the role of UN police within those strategies.

4. Other UN departments, agencies, funds and programmes and other partners shall be informed by these guidelines with respect to collaboration with and expectations regarding POC-related activities undertaken by UN police. These guidelines can further serve as a reference for police-contributing countries (PCCs), local authorities, regional as well as other multilateral actors. Key personnel in PCCs, including decision makers, trainers and planners, will also find these guidelines useful as they prepare IPOs and formed units for deployment to UN peace operations.

5. The guidelines should be reflected in modules for pre-deployment training by Member States and in induction and in-mission training delivered by missions and/or the Integrated Training Service. Tasks and duties of the police component as delineated in this policy should be incorporated into vacancy announcements for UN police posts under 'responsibilities' in order to facilitate the selection of qualified candidates.

C. RATIONALE

6. Since the first Security Council resolution explicitly mandating a mission to protect civilians in Sierra Leone in 1999, there has been significant conceptual and practical development on POC by the UN system as a whole. Over 95% of peacekeepers are currently deployed under a POC mandate. Further, in its resolution 2185 (2014), the Security Council affirmed the central role of the protection of civilians in the work undertaken by United Nations police.[1] The present guidelines are issued in furtherance of the DPKO/DFS Policy on the Protection of Civilians in United Nations Peacekeeping, the OHCHR/DPKO/DPA/DFS Policy on Human Rights in United Nations Peace Operations and Political Missions, the DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, and the DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations. They should be read in parallel with the related DPKO/DFS Guidelines on police capacity building and development, police operations, police administration and police command. HOPCs have, nonetheless, requested guidance from UN headquarters on the parameters of the role of UN police components in the protection of civilians and on how that role might be determined in the specific circumstances of each mission.

7. While protection is a central policing task in domestic settings, circumstances are quite different in the context of a UN peace operation. More often than not, UN police do not have the same authority, resources or back-up that they would at home.[2] Tasks to implement the mandate will differ from policing in a domestic setting, including capacity-building, working with vulnerable groups on self-protection, and working across civilian, military and police components. In peacekeeping, physical threats to civilians may

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[1] S/RES/2185 (2014), paragraph 17.

[2] The Security Council has provided "executive mandates" to UN police in the past (Kosovo, Timor-Leste) and has, more recently, mandated UN police with aspects of executive policing (e.g., "urgent temporary measures" in the Central African Republic).

emanate from sources of a military, paramilitary, criminal, political, ideological, or other nature. The scale and variety of crime and violence are often more severe and host-State police and other law enforcement agencies may be more militarized, less able to address said crime and violence, or in some instances may be the source of violations themselves. In some areas, elements in the security forces, serious and organized crime groups and violent extremists may use violence against civilians as a tactic. In certain contexts, such threats may be further aggravated by the blurring of lines and collaboration among transnational criminal networks, extremist groups, political actors, or some combination thereof. UN police may not speak the local language; the territory under their responsibility is vast and unfamiliar, and the infrastructure may be poor. Therefore, these guidelines are important to manage expectations and to attempt to outline how UN police can and cannot contribute to POC in a United Nations peace operation. The guidelines also describe where close collaboration with civilian and military components is critical.

D. PROTECTION OF CIVILIANS BY UN POLICE

D.1. Definition of POC

8. The protection of civilians in United Nations peacekeeping is defined as **all necessary means, up to and including the use of deadly force, aimed at preventing or responding to threats of physical violence against civilians, within capabilities and areas of operations, and without prejudice to the responsibility of the host government**.[3,4] UN peacekeeping operations implement POC activities through a three-tiered approach: Tier I – protection through dialogue and engagement; Tier II – provision of physical protection; and Tier III – establishment of a protective environment. UN Police have a role in all three tiers.

D.2. Elements underpinning the UN police contribution to POC

9. **The mission of the UN police** is to enhance international peace and security by supporting Member States in conflict, post-conflict and other crisis situations to realize effective, efficient, representative, responsive and accountable police services that serve and protect the population. To that end, UN police build and support, or, where mandated, act as a substitute or partial substitute for host-State police capacity to prevent and detect crime, protect life and property and maintain public order and safety in adherence to the rule of law and international human rights law. UN police pursue both community-oriented and intelligence-led policing approaches to contribute to the protection of civilians and human rights; and to address, among other things, sexual and gender-based violence, conflict-related sexual violence and serious and organized crime; and conduct investigations, special operations and electoral security.[5]

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[3] DPKO/DFS Policy on the Protection of Civilians in United Nations Peacekeeping, Ref. 2015/07 (2015), paragraph 13.

[4] The Inter-Agency Standing Committee (IASC) defines ‘protection’ as “all activities aimed at obtaining full respect for the rights of the individual in accordance with the letter and the spirit of the relevant bodies of law (i.e. International Human Rights Law (IHRL), International Humanitarian Law (IHL), International Refugee Law (IRL).” DPKO-DFS defined POC is thus complementary to, but distinct from, IASC-defined protection.

[5] Report of the Secretary-General on United Nations policing (S/2016/952), paragraph 8.

10. **UN police promote, protect and respect human rights**. In all aspects of their activities, UN police shall respect and comply with human rights standards, international humanitarian and refugee law, and UN criminal justice norms.

11. In supporting host-State police, **UN police must adhere to the UN Human Rights Due Diligence Policy (HRDDP)** and observe the steps to be taken by UN entities in providing support to non-UN security forces. The aims of the HRDDP are to secure the reputation of the UN, avoid situations in which the UN would be inadvertently aiding and abetting, or otherwise be complicit in, the commission of grave violations of international humanitarian, human rights or refugee law by recipients of its support. The policy further seeks to ensure that support helps recipients progress to a stage where compliance with these bodies of law becomes the norm. A robust application of the HRDDP to capacity-building efforts by UN police, including a targeted, informed implementation of mitigating measures, will assist in ensuring that the mission-supported development of host-State police contributes to the long-term protection of the civilian population. Properly applied, the HRDDP provides the UN police with leverage to effect positive change in behavior of the host-State police and law enforcement services and can thereby enhance the protection of civilians.

12. **UN police respect and promote the primary responsibility of host governments to protect civilians**. The host state retains the primary responsibility to protect civilians, and UN police should support the protection efforts of their interlocutors in host-State police, in full compliance with the HRDDP. The role of UN police includes advice and support to host-State police with an emphasis on prevention, where UN police also have a critical role to play in strengthening the capacity and willingness of host-State police and other law enforcement agencies to protect civilians.

13. **UN police have an active duty to protect.** Although the host state has the primary responsibility for protecting civilians, in cases where the government is unable, unwilling or otherwise failing to do so, UN police in missions with POC mandates have both the authority and obligation to act independently to protect civilians under threat of physical violence, irrespective of the source of the threat, including through use of force.

14. Moreover, UN police should work to analyse threats, prevent, pre-empt and respond to violence against civilians. This can be done through presence in areas under greatest threat, a credible deterrent posture and the **use of force and/or detention in accordance with the applicable Directives on Detention, Searches and Use of Force (DUF)**. [6] This applies to both IPOs and FPUs. While some risk is inherent to UN police work in crisis situations and police must embrace its duty to protect, UN police should not place themselves or others in unreasonable danger.

15. **UN police pursue a comprehensive, whole-of-mission approach and participate actively in planning, information sharing and coordination**. Protecting civilians requires concerted, coordinated action between civilian, military and police components under a mission's POC strategy. In turn, UN police benefit from being engaged and included in a broader mission-wide, comprehensive approach to POC, including gaining access to political leverage and obtaining complementary expertise from other mission components, particularly given limited resources. Relevant provisions of the POC

[6] Generally, the DUF will authorize the stopping and detaining of individuals in all situations in which the use of force is authorized. All detentions must be in accordance with the DPKO-DFS Interim Standard Operating Procedures on Detention in United Nations Peace Operations (Ref. 2010.6).

strategy must be mainstreamed and prioritized in the planning and conduct of activities by all components. This means jointly defining clear, realistic and authorized objectives to prevent, pre-empt, eliminate or mitigate threats and adequately respond to POC contingencies.

16. **UN police prioritize POC activities among their mandated tasks.** UN police have limited resources and can neither respond to every situation nor be present in every location where civilians face the threat of violence. Nonetheless, POC must be prioritized in decisions regarding the allocation of available resources among other mandated tasks.

17. **Heads of UN police components (HOPCs) have command responsibility**. The HOPC has an obligation to exercise full command responsibility for UN police in his/her component to take all necessary actions and use all necessary means, including through issuance of necessary operational plans (OPLAN) and directives for any necessary and permissible actions, up to and including use of force, to fulfil the POC mandate in accordance with the mandate, DUF, and international human rights law (IHRL). The HOPC has an obligation to ensure that all personnel under her/his command have a common understanding regarding what actions can – and cannot – be taken to protect civilians under threat of physical violence, and that they do so. UN police commanders at all levels shall also hold themselves and their subordinates rigorously accountable for observing UN standards of behaviour and code of conduct, including the provisions related to the prevention of sexual exploitation and abuse and the zero-tolerance policy.

18. **UN police take a community-oriented approach to policing.** This gives UN police a comparative advantage over the military component in community engagement. Actions to protect civilians should be planned in consultation with the military component, relevant civilian components and the local communities, with a view to empowering communities and supporting already established protection mechanisms. However, such interaction must be undertaken in a safe and respectful manner, with particular attention granted to the ability of women, men, girls and boys to share protection threats that concern them most and help identify responses to these threats. Community engagement should not expose persons to risk or cause them harm – particularly those who may be at greatest risk, including the most vulnerable, human rights defenders and/or civil society activists.

19. **Close cooperation with local authorities, civil society organisations and traditional leaders** is also essential for prevention, mitigation and resolution of conflicts within communities. This may also involve increasing awareness of domestic and transnational threats, such as serious and organized crime, corruption and terrorism.

20. **UN police activities must be gender responsive and must pay particular attention to the needs of vulnerable groups.** Gender mainstreaming – that is, the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels – is critical for effective protection of civilians, and to that end UN police must assess the implications for women, men, boys and girls, as well as groups in a position of vulnerability, of their activities.

21. **UN police employ intelligence-led policing strategies**. UN police shall use criminal intelligence and other information related to security and protection as well as peacekeeping intelligence to plan, prioritize and allocate resources in its activities, including protecting civilians. This entails acquiring, analysing and reporting as well as actively sharing information, including within the context of a mission-wide early-warning system.

D.3. Assessment and planning for UN police activities in POC

22. The POC role of UN police will vary in accordance with the specific Security Council mandate, context and security environment. Regardless, UN police should emphasize human rights training and sharing of information, including on sexual and gender-based violence/child protection, as well as community engagement and confidence-building measures in coordination with the relevant civilian and military components.

23. It is critical that UN police base their POC activities on a proper threat assessment. This assessment should be part of a mission-wide threat assessment process integrating all available information. Of particular relevance to UN police planning will be: the level of capacity and willingness of host-State police and other law enforcement agencies to protect; the location, size and affiliation of vulnerable communities; as well as the location, capacity and intent of spoilers, potential spoilers and other armed groups, including those that may be involved in serious and organized crime. Violence that entails threats to civilians can take many forms including inter-communal violence, attacks against minority groups, tensions related to refugee/IDP return, conflict between civilian groups, armed militias and/or host-State security forces, or public disorder. At times, armed clashes between host-State security forces and/or armed militias or cross-border armed conflict can spill over and threaten civilians. UN police may have to protect civilians from threats arising from serious crimes, including criminality with political implications, which may also trigger large-scale instability, or targeted violence and abuses against vulnerable groups, including conflict-related sexual violence (CRSV) and/or sexual and gender-based violence[7] (SGBV). Finally, threats may derive from gross human rights violations – at worst committed by host-State security forces – and a resulting climate of impunity and lawlessness

24. While protection is a core concept of international policing, in a mission context, POC requires the police component to integrate its activities with the mission's overall POC strategy. Mission POC strategies are essential for effective POC mandate implementation and specify roles for and interaction among civilian, military and police components. HOPCs and their senior staff should actively participate in the development and implementation of the mission's POC strategy (and revisions) under the overall leadership of the Head of Mission. It will be important to identify:
    - The strengths of the police component vis-à-vis other components, including an appropriate delineation of police and military tasks that follows international standards,
    - The limitations of the police component, including the component's other tasks, its protection capacity and equipment for its own personnel and facilities,
    - Areas to create or improve links between the police component and other mission components, especially through information sharing, establishment of liaison functions as well as joint planning and, where applicable, combined or joint operations, and

[7] Sexual and Gender Based Violence (SGBV) is used to describe any type of violence directed against individuals or groups on the basis of their sex. It includes any act that inflicts physical, mental or sexual harm or suffering, threats of such acts, coercion and other deprivations of liberty. The term is used to describe any type of violence directed against individuals or groups on the basis of their sex. While women, men, girls and boys can all be victims of gender-based violence, women and girls are the main victims.

- Through a context-analysis of the situation in the host-State, specific POC needs which may pose specific or ad hoc challenges for the mission and its police component.

Police planners should contribute to ensuring that the POC strategy is not created in isolation from other related strategies and planning documents, and that it reflects and is reflected in the police CONOPS and DUF, especially in terms of threat assessments, priorities, and roles and responsibilities that these documents commonly lay out. POC planning for police components should be captured in the police Concept of Operations (CONOPs).

25. The DUF for each mission is developed by the Police Division in consultation with the Offices of Operations (OO) and Legal Affairs (OLA) to define and explain the policy, principles, and responsibilities relating to the use of force, including the limits therein as well as the circumstances under which force could be used in self-defence or defence of the mandate, including protection of civilians. The DUF should be used to its full extent in protecting civilians.

26. The HOPC is responsible for ensuring that the mission-specific POC strategy, which should include a vulnerability assessment and contingency plans, fully incorporates the UN police and reflects their interaction with the civilians and military components in implementing a common, agreed approach to addressing the threats and vulnerabilities facing civilians, including prevention, pre-emption and the mobilization of rapid-response capabilities. Police commanders must ensure that all personnel under their command have a common understanding regarding what actions can – and cannot – be taken to protect civilians under threat of physical violence.

27. The joint threat assessment should lead to the development of an operational framework that guides the strong collaboration between police and military components. A primary aim is to ensure an understanding of policing strategies and methodology among military components, in order to increase the joint impact of protection of civilians activities.

28. At the operational level, UN police should engage in joint civilian-police-military planning for all POC actions, including the development of contingency plans, further mission- and component-specific guidance, coordination and information management. In addition to the DUF, the police component should develop a police POC strategy that breaks down the mission strategy and pinpoints police responsibilities, processes and authorities when implementing POC mandates. This could be a separate document or part of the police operational plan (OPLAN). While a broad distinction of POC tasks between individual IPOs and FPU personnel is stipulated in the CONOPS, it is also important to codify in those guidance materials when and how the handover of tasks between IPOs and FPUs should take place, including what triggers a handover from one to the other when a situation (de-)escalates (see below on military-police cooperation and hand-over).

29. The POC policy outlines four main criteria that should be applied fairly consistently in prioritizing responses to domestic and transnational threats and in mission-specific contingency planning:
    - The nature of the threat and the associated risk to civilians;
    - The mission's ability to address the threat – unilaterally or with other protection actors;
    - The comparative advantages and expected impact the mission may have in mitigating or eliminating the threat; and
    - The possible negative consequences of its actions or inactions.

30. From the initial deployment of UN police, planning needs to consider the sustainability of efforts to establish a protective environment. Transition planning will be essential to achieving the strategic objective of increasing the host state's awareness and understanding of its primary responsibility to protect civilians and its capacity and willingness to do so.

D.4. UN Police capacities for POC

31. The roles of various UN police differ as follows:
    - IPOs are often the main interlocutors with the host-State police and therefore have both a presence and a network among host-State police officers and local communities. In the majority of current missions, they are unarmed. Their roles in POC include: gathering and analysing information related to safety and security to contribute to mission-wide early warning mechanisms; building bridges between the host-State police and the population, police capacity-building and development to establish a protective environment; and advising host-State police in pre-emption and response phases.
    - Specialized teams consist of experts from one (or a limited number of) Member State(s), with special skills in areas such as investigations, serious and organized crime, sexual and gender-based violence (SGBV), or community-oriented policing. They can support police capacity-building, provide operational reinforcement to host-State police, conduct deterrent patrols, and/or respond independently to non-military physical threats against civilians through use of force.
    - FPUs work as company-sized units and provide a formed police response to threats to public order or against civilians. FPUs are armed and likely to be in the front line of physical protection (including deterrence). They provide an essential and robust capacity for carrying out, or supporting, policing tasks in the field of POC under austere or high-risk conditions.
    - Other formed units may be deployed having various expertise and specialized capacities, which may include, but is not limited to, canine handling, close protection, crime analysis, forensics, investigation, public order management, special weapons and tactics (SWAT), guard units and riverine policing, in accordance with mandated tasks.

D.5. UN police and the use of force for POC

32. Security Council resolutions authorizing the use of "all necessary means" to protect civilians are applicable to UN police, even if the resolutions do not set out the specific role intended for UN police. However, protection of civilians is one of the three core functions of FPUs,[8] which have primacy over the military component in providing a response in situations where there is no sustained and large scale use of firearms or military weaponry.[9]

33. UN police must in all cases exercise their powers in strict accordance with the UN Security Council resolutions and other official issuances applicable to the mission in which they are deployed (e.g., CONOPS and DUF), including any provisions on the use of force. In all instances, members of the police component must respect international human rights and criminal justice standards, notably as laid down in the *United Nations*

[8] DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations, para 13.
[9] Id, para. 51.

Basic Principles on the Use of Force and Firearms by Law Enforcement Officials. In situations of joint military and police operational engagement, both are governed and limited by their respective rules of engagement (ROE) and DUF. International standards aim at guiding a measured and responsible use of force, but should not be used as an excuse to avoid executing the active duty to protect.

34. The scenarios in which UN police are expected to protect civilians vary greatly in terms of the authority granted to UN police, the degree of host-State police capability and presence, and the extent to which the government itself constitutes a threat to civilians. UN police may be required to contribute to security in and around IDP camps, where host-State police is present as a support function, or where the latter is either ineffective or not trusted and the cooperation between UN police and host-State police colleagues may be problematic. IDPs and IDP camps may even face attacks from host-State security forces themselves, or be subject to looting, rape or other violations. Field experience has demonstrated that the lack of mutual trust between IDPs/refugee communities and host-State police can be a result of the latter's implication in past threats and abuses against this vulnerable segment of the population.

35. Second, UN police may support the mission in maintaining security around or, in limited situations, within UN premises, where displaced persons have sought refuge. In collaboration with the Department of Safety and Security (DSS) and the military component, this might entail screening and disarming to ensure that these sites retain their civilian character, guard duties at the entrances, perimeter security, maintaining order and public security, including, in line with the DUF, through the stopping and detaining[10] of individuals who pose a threat to such security, within and outside POC sites as appropriate. While offering physical protection for civilians within UN premises must always be considered an *in extremis* option, and has proven difficult to sustain for long periods, providing such protection to civilians is, when necessitated, important to upholding the core principles of the United Nations.

36. Third, UN police may have to use force when tasked with limited executive activities, generally in consultation with, in support and at the request of the host-State government. In cases of a full or partial breakdown of law and order, UN police have in rare cases been tasked to maintain basic law and order and to "investigate, arrest, detain and hand-over for prosecution key perpetrators of serious crimes."[11] This has to be done in accordance with applicable national jurisdictional and international norms and standards and carefully coordinated with national authorities and other Mission components, in particular rule of law, human rights and legal affairs, as well as with the ICRC. All detentions must be in line with the Interim Standard Operating Procedures on Detention in United Nations Peace Operations (ISOP Detention).

37. In order to assist UN police in navigating the above tensions and expectations reflected in the above scenarios, each mission must clearly spell out the degree of authority of UN

[10] All detentions must be in line with the Interim Standard Operating Procedures on Detention in United Nations Peace Operations (Ref. 2010.6)

[11] This is the case for the Bangui Task Force, as per the MINUSCA mission POC strategy. In accordance with Security Council resolutions 2149 (2014), 2217(2015) and 2301 (2016), MINUSCA police is mandated to use Urgent Temporary Measures (UTM), within the limits of its capacities and areas of deployment, at the formal request of the Transitional Authorities and in areas where national security forces are not present or operational, without creating a precedent and without prejudice to the agreed principles of peacekeeping operations, which are limited in scope, time bound and consistent with the objectives of the mandate to maintain basic law and order and fight impunity.

police in its DUF. The DUF provides the authorization to use force and clarify the different levels of force that can be used in various circumstances, how each level of force should be used, and any authorizations that must be obtained in advance by police commanders. The DUF will, in line with the relevant Security Council resolution, typically authorize the use of force both in self-defence and defence of the mandate, including to protect civilians, which includes humanitarian workers, under threat of physical violence. In the vast majority of cases, FPUs are armed and can stop, detain and search. However, UN police may be limited in or prevented from questioning, interviewing or interrogating persons stopped or detained. In any mission with a POC mandate, the DUF should ideally also cover the role and authority of IPOs, taking into account whether they are armed, carry less than lethal equipment, or are completely unarmed.

38. Equipment is another key aspect of the use of force. This pertains to the ability of UN police, especially individual officers, to provide protection, but also to the safety and security of UN police. The safety and security of UN police remains a priority, as civilians will not be effectively protected if UN police cannot protect themselves or are exposed to unnecessary security risks.[12] For FPUs and PSUs, this means having fully operational equipment, as per the list of authorized equipment contained in the DUF. Similarly, both individual officers and formed units should be equipped with minimum self-protection capacity and/or equipment. Where the DUF covers IPOs, they should also include a list of authorized equipment for IPOs, including lethal, less than lethal and/or personal protective equipment in line with their mandated authority.[13]

D.6. UN police within the three tiers of POC action

39. As mentioned above in paragraph 8, UN peacekeeping operations implement POC activities through a three-tiered approach: Tier I – protection through dialogue and engagement; Tier II – provision of physical protection; and Tier III – establishment of a protective environment. UN Police should contribute significantly to all three tiers.

Tier I – Protection through dialogue and engagement

40. Protection through dialogue and engagement includes dialogue with a perpetrator or potential perpetrator; conflict resolution and mediation between parties to a conflict; persuading the government and other relevant actors to intervene to protect civilians or to refrain from committing violations; public information and reporting on POC; and other initiatives that seek to protect civilians through dialogue and/or direct engagement.

41. UN police can participate in the provision of information and analysis in support of political processes. The police component should support and engage on the political level, particularly on policing issues. The HOPC should maintain relationships with and access to important members of host-State police and related ministries, and in that manner can support political action by the Mission. UN police often have access to local communities as well, providing a broad mission presence. These strengths can be leveraged by police components to: (a) interact with host-State police and law enforcement services at all levels to advocate for their appropriate protection responses; (b) gather, record and share information with other mission actors, e.g. on human rights violations (b) support mission efforts towards local conflict resolution (likely to be led by Civil Affairs); and (d) conduct outreach to communities at risk.

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[12] According to the United Nations Security Management System, the safety and security of IPOs falls under the responsibility of the Designated Official (usually the SRSG).
[13] Non-lethal equipment could include items such as batons, plastic handcuffs or protective gear.

Tier I: Examples of UN Police activities to protect civilians through dialogue and engagement
• Participate in information collection and analysis in support of political processes. • Liaise and advocate for protection of civilians with host-State authorities, including law-enforcement agencies, at all levels. This could include mainstreaming of POC into daily co-located activities with host-State police, such as provision of advice on appropriate host-State police response to threats to civilians.[14] • Leverage the HRDDP and persuade authorities to adopt risk mitigation measures such as excluding problematic units or commanders from operations or requiring pledges of good conduct. • Support host-State police engagement with local communities, for example through participation in de-escalation and reconciliation efforts jointly with, e.g., Civil Affairs Officers and civil society groups. • Provide security-related public information and/or contribute to public awareness campaigns (together with the Mission's Public Information Office). • Record and share allegations of violations of human rights and IHL with the human rights component for verification, investigation and follow-up by the latter; where appropriate and relevant, conduct joint investigations and joint advocacy while maintaining confidentiality; contribute to early-warning mechanisms, trend analysis and contingency planning. • Contribute to Monitoring, Analysis and Reporting Arrangements (MARA) on Conflict-Related Sexual Violence (CRSV) led by Women Protection Advisors (WPAs) and Monitoring and Reporting Mechanism (MRM) on Six Grave Violations led by Child Protection Advisors (CPAs), through information-sharing on human rights violations and supporting political advocacy with parties to the conflict. • Strengthen community-oriented policing approaches and promote engagement with communities. • Support community-based early warning mechanisms and protection committees, activities and plans.

Tier II – Provision of physical protection

42. Provision of physical protection encompasses those activities by police and military components involving the show or use of force to prevent, deter, pre-empt and respond to situations in which civilians are under threat of physical violence. Police components, particularly FPUs, have an important role in preventing, deterring and responding to threats of violence against civilian populations through Tier II.

43. UN police activities to provide physical protection are primarily undertaken by FPUs, which provide a formed response to threats to public order or of violence against civilians. FPUs are armed and can carry out preventive high-visibility patrols and provide protection to unarmed patrols or escorts for convoys. Where FPUs are deployed, their POC role should be considered at the outset, ideally by the initial Technical Assessment Mission (TAM), and certainly in the drafting of the Mission Concept, the police Concept of Operations (CONOPS), and the Mission POC strategy.[15] FPUs should be assigned tasks

[14] This could be seen as both Tiers I and III.
[15] FPU Policy para 16

in accordance with their particular added value, namely their ability to act as a cohesive unit, their special weapons and equipment, and their specialization in public order management. IPOs also play a role as per the scenarios outlined above in the section on the use of force.

44. Further, POC tasks assigned to FPUs should take into consideration that FPUs are a policing element and should not be deployed in situations of "sustained use of firearms or military weaponry," i.e. responding to threats requiring the engagement of military rules and units. As POC situations may be fluid, effective coordination mechanisms between the police and military components shall be developed where FPUs are engaged in POC tier II activities, in accordance with the *DPKO/DFS Policy on Authority, Command and Control, the DPKO/DFS Policy (revised) on FPUs* and the *DPKO/DFS Guidelines on Police Command* (see below on military-police cooperation).

Example: Protecting IDPs

The POC policy set out priorities for the provision of physical protection in areas of displacement: (a) outside UN premises, including in IDP camps or with host communities; (b) in areas adjacent or close to existing mission premises identified for that purpose; and (c) *in extremis*, including due to a lack of preparedness or where the mission has insufficient military or police capacity to secure a site outside the mission compound, in 'POC sites' within existing mission premises.

Each of these requires UN police to play a role. Where IDPs are located in area adjacent or close to existing mission premises, UN police will likely to be required to maintain public security amongst the IDPs, if possible in conjunction with host-State police. However, it is important to recognize that the role of UN police goes beyond simple facilitation of the work of the host-State police to that of a protective presence. Where civilians are within UN premises, given the inviolability of such premises, UN police will be required to independently maintain public security, including through detentions where necessary in line with the DUF and compliance with the DPKO/DFS Interim Standard Operating Procedures on Detention in UN Peace Operations.

UN police should actively participate in the assessment of risks of various options, and should provide inputs on the ability to, with the military component, protect civilians under the various situations. Projection, through integrated civilian, military, police presence, FPU patrols, military/police patrols, or military patrols is to be preferred, bringing protection to civilians rather than requiring them to displace to or near UN premises for safety. UN police should assist in identification of risks and measures to minimize or eliminate them.

45. IPOs can support the provision of physical protection by working closely with human rights components, civil affairs, POC advisers and other mission entities in the identification of areas and situations for which physical protection measures undertaken by FPUs or the military components should be prioritised.

Tier II: Examples of UN Police activities to provide physical protection
Preparedness: • Monitor, gather and share information, analyse, maintain heightened situational awareness and report with a focus on early warning and response. • Conduct risk and threat assessments taking into account vulnerabilities of civilians, patterns of violence, displacement and coping strategies (in coordination with other mission components). • Carry out scenario-based exercises for contingency preparedness with civilian and military components. Patrolling: • Identify high risk areas/tension spots in conjunction with civilian components and the Humanitarian Country Team (HCT). Conduct targeted high-visibility mobile and dismounted (foot) patrols, either independently, with other mission components such as civil affairs, human rights or the POC, Child Protection (CP), or Women's Protection (WP) advisers or officers (a good practice), or jointly with host-State police (FPUs and IPOs). • Engage in robust and intensive mobile and foot patrols in areas with high threats to civilians, to deter spoilers from acts inimical to peace and security (FPUs). • Escort convoys (mainly FPUs, although unarmed UN police may be able to support military escorts through their policing expertise). Positioning: • Maintain an active presence at refugee and/or IDP camps and/or team sites (IPOs/FPUs). • Maintain a robust posture and/or high-profile presence in areas of potential threat and among vulnerable groups (FPUs/IPOs). • Deploy proactively to strategic locations to deter attacks on civilians (FPUs/IPOs). • Provide protective defensive rings/positions around civilian settlements (FPUs). Operations: • Undertake joint or unilateral proactive policing and law enforcement operations, in accordance with international standards of policing, e.g. joint patrolling and/or implementation of joint fixed and/or mobile check-points. • Prevent, pre-empt and respond to physical threats against civilians of a non-military nature, including through the use of force (mainly FPUs). • Stop and detain as set forth in the mandate and DUF, in accordance with the ISOP Detention. Provision of protected passage (in conjunction with the military component). • Conduct weapons searches and seizures (e.g., at POC sites). Operational support and planning: • Establish mechanisms to ensure operational coordination with host-State police and other law enforcement agencies, including contingency planning to mitigate possible human rights violations of jointly planned and/or implemented operations. • Reinforce/advise/assist the host-State police in de-escalation and/or re-establishing public order (in adherence to HRDDP and the rule of law). Mission/UN-wide tools: • Participate in mission-wide POC mechanisms, e.g., "Joint Protection Teams" (JPTs) or "Joint Assessment Missions" (JAMS). • Participate in POC coordination mechanisms at Mission HQ and field office or

sector level.

- Collaborate with other operational partners, such as the military component, human rights component or humanitarian partners (protected passage, humanitarian corridors[16]).
- Maintain close contacts with the Protection Cluster on contingency planning and to exchange information.

Tier III – Establishment of a protective environment

46. The establishment of a protective environment refers to activities undertaken to create a protective environment for civilians, including good governance, adherence to the rule of law, and authorities that promote, protect and respect human rights.[17] Perhaps the most important role that UN police undertake in establishing a protective environment is building the capacity and willingness of the host-State police and other law enforcement services to protect civilians. All the tasks that UN Police are mandated to undertake as part of their efforts to reform, restructure and rebuild host-State police and other law enforcement agencies, including (where mandated) vetting, training, mentoring and advising and enhancing oversight and accountability, also inherently aim to establish a protective environment in the long-term.[18] Most of those activities are undertaken alongside or in coordination with programmes by the United Nations Country Team (UNCT) or Humanitarian Country Team.

Tier III: Examples of UN Police activities to establish a protective environment

Assessment:

- Assist host-State police and other law enforcement agencies in the assessment of their functions and structure, and the development of a plan for enhancement of protection capacities.

Census, identification, vetting and monitoring of human rights:

- Assist in the census, identification and vetting of host-State police and other law enforcement agencies.
- In coordination with the human rights component, train host-State police and other law enforcement agencies on respecting human rights in the execution of their duties.
- Work to ensure that host-State police are human rights compliant, accountable and sustainable and work effectively with other rule of law institutions.
- Leverage the HRDDP by implementing mitigating measures, such as performing human rights background checks on host-State police set to receive support.

Advice, mentoring and training:

- Build core policing skills, such as basic investigatory skills to shift from confession-based to investigation-based policing.
- Build the operational skills of the host-State police to provide protection through

[16] Humanitarian corridors are defined by OCHA as specific routes and logistical methods agreed upon by all relevant parties to allow the safe passage of humanitarian goods and/or people from one point to another in an area of active fighting.
[17] As distinct from the provision of physical protection.
[18] *See* DPKO/DFS Guidelines on Police Capacity Building and Development (2015.8).

monitoring, advising, mentoring and training, e.g. analysis and assessment, planning, investigation (including on serious and organized crime), SGBV, public order management or appropriate handling of victims, public information and community relations.

- Review police policies, particularly police powers, codes of ethics and responses to needs of vulnerable groups and protection of victims and witnesses, with a view to strengthening disciplinary mechanisms and enhancing management practices.
- Support the establishment of host-State accountability mechanisms for internal and external oversight and performance management.
- Assist and support the development and implementation of effective security strategies in order to counter serious crimes, especially those targeting IDPs and other vulnerable groups including women and children, and those leading to the destabilization of the country.
- Assist and support the development and implementation of effective strategies to enhance security and respect for the civilian nature of refugee/IDP camps in coordination with humanitarian actors.
- Assist in the establishment of an effective intelligence capacity to collate, analyse and process information on criminal gangs, particularly individuals and armed groups capable of destabilizing peace and security.
- Collect, analyse and preserve evidence to support host-State police and other law enforcement agencies in the investigation of high profile crimes, particularly incidents involving violence against civilians.
- Advise on police development/reform strategy in the long, medium and short term with comprehensive needs assessments and clear priorities.
- Strengthen relations between the police and the communities by working to ensure police are responsive to community needs and that the communities understand the proper role and responsibilities of police.
- Carry out initiatives to facilitate voluntary, safe, dignified and sustainable return, local integration or resettlement of displaced persons, e.g. call centres or human rights training in cooperation with the human rights component.
- Work with human rights components on establishing protection mechanisms for witnesses and victims.

Coordination:

- Provide support to the re-establishment of judicial and corrections systems and processes, especially through training.
- Supporting other mission components in mandate implementation, including building criminal justice system, SSR, DDR and mine action support activities.
- Support child protection and SGBV activities, including through host-State police
- Contribute to public information, outreach campaigns on UN and host-State police role in POC, in coordination with the wider mission effort.

<u>Human rights monitoring and investigations</u>:

- Identify human rights violations and record and share information with human rights components for their investigation in follow-up, including incidents of sexual and gender-based violence and violence against vulnerable groups and violations against children.

D.7. UN police activities by POC response phase

47. All three tiers of POC actions are implemented along **four operational phases**: (1) prevention, (2) pre-emption, (3) response and (4) consolidation with a view to either eliminating a threat or mitigating the risk to civilians associated with the threat. Although these phases are not necessarily sequential and may be seen simultaneous or independent, it can be useful to view various UN police actions from the three tiers along the four operational response phases.

Prevention

48. Prevention includes activities undertaken when no specific POC threat has been identified (latent threat). UN police can contribute by, among others:
    - Supporting extension of state authority in adherence to the rule of law through monitoring, mentoring, and advising. This should include identification and early warning of human rights violations and efforts to positively affect systemic change.
    - Ensuring a visible presence and assuring the population of the mission's intent, commencing dialogue with communities that can support early warning by the communities, host-State and the UN.
    - Mitigating community conflicts that could escalate into physical violence, e.g. in cooperation with Civil Affairs or Judicial Affairs working with formal and/or traditional justice mechanisms.
    - Ensuring that host-State police and other law enforcement services are sensitized to and have received adequate training in national and international human rights and humanitarian law standards, with practical scenario-based examples.

> ***Example: UN Early Warning Working Group in South Sudan***
>
> The Security Council mandated UNMISS to implement a mission wide early warning strategy (including a coordinated approach to information gathering, monitoring, verification, early warning and dissemination, and response mechanisms) as part of its POC mandated tasks. The Mission broadened the scope of the JMAC-led Early Warning Working Group (EWWG) to include not only the civilian, military and police components of the Mission, but also the UN Country Team and the Humanitarian Country Team. Participation by non-Mission entities was voluntary, but the inclusion of agencies, funds and programmes as well as other partners allowed for a more accurate, holistic picture of threats across the country, including overlapping vulnerabilities (e.g., displacement, food insecurity, physical insecurity) which could be taken into account in prioritizing Mission (and other) responses to threats to civilians.

    - As relevant, and in conjunction with UNMAS, endeavour to ensure that host-State police and other law enforcement services are sensitized to and have adequate training on the International Ammunition Technical Guidelines to ensure the safe and secure management of ammunition and weapons.
    - Supporting the strengthening of the criminal justice chain, including investigations by police, as well as with other rule of law mission components on prosecution, adjudication, and detention/imprisonment.

- Supporting development and functioning of accountability mechanisms for internal and external oversight, transparency and performance management of host-State police and law enforcement services.
- Leveraging the HRDDP to ensure progress on security sector reform.

Pre-emption

49. When POC threats have been identified, pro-active measures should be taken to mitigate or eliminate the threats before violence occurs, either by deterring a party or person(s) from committing hostile acts, or affecting their capacity to do so. UN police should contribute through, among others:
    - Advocating with, persuading, and providing advice and support to host-State police and law enforcement services to extend their presence and ensure rule of law and public order in areas under threat. This may include planning and advisory support and/or operational support to host-State police.
    - Conducting patrols, either jointly with host-State police or unilaterally. If the latter, efforts should be made to undertake integrated civilian, military, police patrols if security allows. Such patrols should, where possible, interact with communities and should be targeted (by location and timing) based on inputs from partners, communities and other protection actors.
    - Proactive engagement, advocacy with and support to host-State police or law enforcement services whose elements have perpetrated violence against civilians, e.g., activities to support further sensitization and training, criminal accountability for violations, and reinforced monitoring, reporting, command/control and accountability mechanisms.

Response

50. When physical violence is apparent, the mission aim is to stop the aggressors through political, security or legal means. UN police can:
    - Undertake efforts to further mobilize, persuade and support host-State police in extending their presence and ensuring human rights, rule of law and public order in affected areas. Provide advice on deployment priorities based on mission analysis. Strong advocacy, mentoring and advisory capacity on the part of UN police should be brought to bear at all levels.
    - Direct action by FPUs to protect civilians as set forth in the DUF.
    - Where there is no capacity to stop the aggressors, provide direct physical security to civilians or accompany and secure their movement to more stable areas.
    - Where mandated, collect, register and preserve evidence of crimes against humanity, war crimes, genocide and other serious crimes including sexual violence and grave violations of human rights, for subsequent criminal investigation and prosecution of alleged perpetrators at national or international level. <u>UN police should have a distinct comparative advantage here.</u>

Consolidation

51. After violence subsides, UN police will, along with other mission components and the UN Country Team, support return to stability and normalcy, including through activities to:
    - Contribute to creating conditions conducive to the voluntary, safe, dignified and sustainable return, location integration or resettlement of refugees and IDPs, notably in conjunction with host-State police as regards security.

- Support restoration of the rule of law and prevent recurrence of violence, including through accountability for violations and effective remedies for the victims, in coordination with other components working on human rights and the rule of law.

D.8. Contributing to the mission's comprehensive POC approach

52. UN Police should actively participate in POC coordination and/or joint mechanisms at mission HQ and at local levels and should be part of the mission's POC activities in the area of risk and threat assessments, information and analysis, and operations/response. These mechanisms will likely include OCHA (on behalf of the humanitarian community), UNHCR (Protection Cluster lead), and UNICEF (MRM Taskforce co-chair). As part of the mission leadership team, the HOPC participates in coordination mechanisms including the Mission Leadership Team and senior management group on POC.

Police-military cooperation in POC

53. The military and police components are the sole providers of physical protection provided by a mission, and thus their cooperation is essential for Tier II POC action. Military and police peacekeepers often conduct combined or joint activities, when preventing, deterring or pre-empting violence against civilians, including joint (high-visibility) patrols, information gathering, deploying to strategic locations, or even engaging perpetrators of violence. Although the modalities for cooperation between military and police are broadly outlined in the DPKO/DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations and the guidelines on police command, including provisions on the primacy of each actor in different broadly defined circumstances, each mission with a POC mandate should develop specific joint operational guidelines, detailed communication and reporting lines, delineation of responsibilities and tasks, delegation of authority and transfer of authority between the police and military components.[19]

54. However, it is imperative that UN police maintain a profile distinct from the military to assist in maintaining the moral authority needed for effective policing.[20] Conflation of military and police roles by the Mission will undermine the good practices that the UN police capacity-building workstream, as well as any SSR and/or rule of law or justice component, attempts to implement with the host-State authorities.

55. As a general rule, the personnel, units and sub-units from one uniformed component are usually not placed under the direct technical supervision or tactical control of another component. However, there may be specific conditions, where – with the approval of the SRSG – police and military personnel may serve under a unified and centralized structure commanded by a senior United Nations police officer designated by the HOPC or a military officer designated by the Head of the Military Component (HOMC).[21] In cases where UN police are operating under military command, <u>they cannot, in any circumstances, exercise authority beyond that in the DUF</u>.

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[19] DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, para. 96 as further elucidated in the DPKO/DFS Guidelines on Police Command in United Nations Peacekeeping and Special Political Missions, para. 82.
[20] DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, para. 94.
[21] For more, see the DPKO/DFS Guidelines on Police Command in United Nations Peacekeeping and Special Political Missions, paras. 48-52.

56. Military and police components should work together with relevant civilian components on contingency plans and scenarios, and conduct joint table top and field exercises to ensure optimal preparation and communication. Planning and meticulous execution of joint training is key to ensuring effective performance.

Cooperation with other partners

57. The successful implementation of POC relies on strong coordination. Key partners for UN police in POC include Joint Mission Analysis Center/Joint Operations Center (JMAC/JOC), the human rights, rule of law (justice and corrections), civil affairs and public information components, as well as experts on gender and SGBV and POC, Women and Child Protection Advisers.

58. **JMAC/JOC.** In most missions, the JMAC and the JOC support the spectrum of integrated situational awareness and understanding and forecasting, in both routine as well as crisis situations. Whereas the JOC focuses on day-to-day situational awareness, including through the provision of daily integrated reports, special incident reports and crisis response facilitation, the JMAC generates integrated analysis and predictive assessments over the mid- and long-term. Together, the JMAC and JOC provide a comprehensive situational awareness and understanding which supports the ability of senior mission leadership to identify, prevent, mitigate and/or respond to threats and opportunities to mandate implementation. Both the JMAC and JOC contribute to and benefit from POC information gathering, collation and analysis. Regular contact between the HOPC and the JOC and JMAC Chiefs is strongly advised. The HOPC shall appoint, on a permanent basis, capable and empowered liaison officers and/or focal points to both JMAC and JOC (with expertise in intelligence/investigations for the former and operations for the latter), to enhance synergies and information sharing between JMAC and JOC and the office of the Police Commissioner, thereby directly supporting Mission early warning efforts. To streamline information capture and sharing, in missions where SAGE, the enterprise incident and event tracking database application approved by DPKO/DFS, has been deployed, UN police should contribute to the entry of incident and event data in SAGE. As the Mission Information Hub, the JOC is the custodian of SAGE in missions.

59. **Human Rights.** Close ties to the human rights component are particularly important, as it can collaborate with UN police on reporting, training and investigations. UN police also need a continuous exchange with the human rights component in implementation of the Human Rights Due Diligence Policy. UN police should record all allegations of human rights violations or signs of deterioration or impending violence observed through patrolling, outreach and/or engagement and should report these promptly to the human rights component, based on standard operating procedures that every mission is required to establish. The HOPC should cooperate closely with the head of the human rights component to anticipate, plan, and prepare for possible crises, escalations of violence and upsurges in human rights violations, within limits of capacity and mandate, with the roles and responsibilities of each component clearly established and internal procedures developed to ensure rapid preventive and protection responses.[22] Similarly, interaction with Women Protection and Child Protection Advisers will better inform UN police actions, as well as reporting on violations through the MRM and MARA. The human rights component can advise on questions regarding the human rights-compliant use of force for the purpose of protecting civilians.

[22] DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, para. 103

60. **POC Adviser**. The role of the POC Adviser is to provide advice on the overall implementation of the Mission's POC mandate, supporting Mission leadership in ensuring that POC concerns are appropriately mainstreamed and leading in the development of mission policy on POC. S/he can provide inputs to the police component on its overall POC planning (CONOPS, OPLAN) as well as on contingency planning or specific responses to physical threats to civilians, including in cases of forced displacement or other in extremis circumstances. Further, the POC Adviser should be able to provide guidance on prioritizing capacity-building efforts that could have greatest impact on protection of civilians.

61. **Justice and Corrections**. As a functioning criminal justice chain is crucial to the longer-term protection of civilians, close cooperation with justice and corrections components is essential in supporting the development of host-State institutions to strengthen their capacity to ensure non-discriminatory protection and accountability. Specific areas of cooperation may include initiatives that strengthen cooperation between police, prosecutors and courts to enhance national capacity to investigate, prosecute and adjudicate atrocity crimes. This may include work undertaken with the UNCT through the Global Focal Point for the Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations (GFP).

62. **Mine Action.** Activities undertaken in missions and coordinated by the United Nations Mine Action Service (UNMAS) support broader POC strategies, notably in creating a protective environment (Tier 3) and providing protection from physical violence (Tier 2) . Mine action not only includes detection, survey and clearance of explosive hazards, such as landmines, explosive remnants of war or improvised explosive devices, but also key community-based initiatives related to risk education and confidence building in national law enforcement institutions, particularly related to weapons and ammunition management. Cooperation with mine action components is important, especially in supporting POC sites and in providing additional relevant expertise such as detection dogs for weapons searches or advice on setting up safe ammunitions and weapons disposal areas and processes.

63. **Civil Affairs.** Particularly given the focus on community engagement and unarmed protection approaches, UN police should develop strong relationship with the civil affairs component, which can advise on the strategic and policy framework for operations and liaison with communities, helping to ensure cohesion and consistency across local-level mission actors.

> ***Example: Identifying comparative advantages***
>
> Community engagement is key to effective POC and reiterated across mission components. Given that UN police take a community-oriented approach to policing, they should be well-placed – along with other components such as Civil Affairs and Human Rights – to interact with communities effectively, not only in support of early warning, but also to inform the UN police mentoring and advising workstream to improve the capacity and willingness of host-State police to promote, protect and respect the rights of persons and to ensure their protection.

64. **Public Information.** Another important partner in the mission is the public information section, with which UN police should cooperate on strategic communications and managing expectations, especially in light of the UN police interaction with communities.

Public information – though media, advocacy, and outreach – is critical for explaining to all stakeholders the protection of civilians mandate and managing the expectations of what missions can realistically do to protect civilians. Public information is also a useful tool to remind the authorities, military, and other armed groups about their obligations to ensure the protection of civilians.

65. **Humanitarian Country Team (HCT).** The implementation of the mission POC strategy requires close coordination with the HCT (which includes both UN and non-UN humanitarian organizations) and the HCT's Protection Cluster in particular, which may have its complementary but distinct protection strategy. The Protection Cluster can be a source for meta-data regarding areas which could benefit from targeted patrolling as well as information on key protection concerns and trends. Further, UN Police can contribute to survivor-centred protection, which is delivered through multi-sectoral referral pathways across medical, psychosocial and legal service providers, among others, within the Protection Cluster's 'Gender-Based Violence (GBV) Sub-Cluster' and the 'Child Protection Sub-Cluster' led by UNFPA and UNICEF, respectively. UN police benefit from participation in the respective coordination mechanisms, subject to country-specific settings.[23]

D. 8. POC Training

66. The HOPC and his/her senior staff should ensure that all UN Police, particularly commanding officers, understand the POC strategy and the specific roles that it establishes for UN Police. Every officer – whether an IPO or part of a formed unit or team – should be fully briefed on the role of UN police, either in their role as mentors and advisers and/or how and when they can and should use force in accordance with the DUF. DPKO-DFS integrated POC training modules[24] should be used in pre-deployment training and potentially for in-mission training.[25] Induction training and other training for the police component should draw on existing training materials. HOPC should actively explore with the Force Commander and heads of civilian components whether training on policing concepts can increase the joint capacities of police, civilian and military components engaged in POC, particularly joint civilian, military and police table top exercises and joint field exercises between FPUs and the military component.

D.9. Monitoring and reporting the police contribution to POC

67. The senior mission leadership across the civilian, military and police components is accountable and must ensure implementation of POC mandates. All peacekeeping operations with a POC mandate must conduct regular evaluations of their impact on the POC environment and report accordingly. Similarly, the HOPC shall cover UN police activities in support of POC in reporting to the UN Police Division. UN police should also participate in joint military, police and civilian monitoring and evaluation teams that

[23] The participation of uniformed personnel in humanitarian coordination mechanisms is context-specific and guided by the need to safeguard humanitarian principles. For further information, refer to paragraph 26 of the DPKO/DFS Policy on Protection of Civilians in United Nations Peacekeeping (Ref. 2015.7, April 2015).

[24] The integrated DPKO-DFS POC training includes POC along with child protection (CP) and conflict related sexual violence (CRSV).

[25] The DPKO-DFS training modules on POC entitled "Child Protection for UN Police" (http://research.un.org/stm/childprotectionunpol), "Conflict-Related Sexual Violence" (http://research.un.org/stm/CRSV) and "Specialized training materials on protection of civilians and prevention and response to conflict related sexual violence" can be accessed at the Peacekeeping Resource Hub. (http://www.peacekeepingbestpractices.unlb.org)

assess the mission's response to all major POC incidents or crises and promptly report on its findings to the mission leadership and UNHQ. Any POC related contravention to the DUF must be investigated through a formal Board of Inquiry, as for any other DUF violation.[26]

68. Each mission should monitor the implementation of its POC mandate, based on clear benchmarks and indicators including the DPKO/DFS pilot POC indicators, which aim to measure the outcome of POC activities against expected accomplishments. As missions are faced with a great diversity of protection environments and no single set of indicators is relevant to all missions, the POC indicators are designed as a repository that allows missions to select indicators that are most relevant for their specific context. In order to best inform mission planning processes, the primary vehicle for application of the indicators is the Result Based Budget (RBB) framework.[27] The police component should be actively involved in this monitoring process and ensure their POC activities are appropriately and accurately reflected in relevant RBB documents.

E. TERMINOLOGY

Capacity-building – Efforts to strengthen the aptitudes, resources, relationships and facilitating conditions necessary to act effectively to achieve an intended purpose. Capacity-building targets individuals, institutions and their enabling environment.

Conflict-related sexual violence (CRSV) – refers to incidents or patterns of sexual violence, i.e., rape, sexual slavery, forced prostitution, forced pregnancy, enforced sterilization, or any other form of sexual violence of comparable gravity against women, men, girls or boys. Such incidents or patterns occur in conflict or post-conflict settings or other situations of concern (e.g. political strife). The link with conflict may be evident in the profile and motivation of the perpetrators, the profile of the victims, the climate of impunity, the weakened State capacity, or violations of the terms of ceasefire agreement.

Civilian – Any person who is not or is no longer directly participating in hostilities or other acts of violence shall be considered a civilian, unless he or she is a member of armed forces or groups. In case of doubt whether a person is a civilian, that person shall be considered a civilian.

Formed Police Unit (FPU) – A specialized, cohesive, armed mobile police unit, providing security support to United Nations operations by ensuring the safety and security of United Nations personnel and assets; contributing to the protection of civilians; and supporting police operations that require a formed response. Depending on the mandate, FPUs may perform these tasks independently (in the case of executive law enforcement mandate) or in support of existing host-State law enforcement agencies and within the limits of their operational and logistical capabilities, areas of deployment and relevant UN policies.

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 United Nations Secretary-General.

POC threats – encompass all hostile acts or situations that are likely to lead to death or serious bodily injury, including sexual violence, regardless of the source of threat.

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[26] POC policy, para 55
[27] *See* DPKO/DFS Guidance on Protection of Civilians Indicators (Dec 2015).

Policing – a function of governance responsible for the prevention, detection and investigation of crime; the protection of persons and property; and the maintenance of public order and safety. Policing must be entrusted to civil servants who are members of police or other law enforcement agencies of national, regional or local governments, within a legal framework that is based on the rule of law. Police and law enforcement officials have the obligation to respect and protect human rights.

Police and Law Enforcement Agencies – all national security agencies, such as the police, customs and border services and agencies with military status such as gendarmerie, which exercise police powers especially the power of arrest and detention.

Police component – All UN police officers in a given mission, i.e. individual police officers (IPOs) and formed police units (FPUs), as well as civilian staff under the line management of the Head of Police Component (HOPC).

Sexual and Gender Based Violence (SGBV) – any type of violence directed against individuals or groups on the basis of their sex. It includes any act that inflicts physical, mental or sexual harm or suffering, threats of such acts, coercion and other deprivations of liberty. The term is used to describe any type of violence directed against individuals or groups on the basis of their sex. While women, men, girls and boys can all be victims of gender-based violence, women and girls are the main victims.

United Nations police – comprises police components within UN peace operations, specialized expertise deployed in non-mission settings under the Global Focal Point on Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations, and the Police Division of DPKO, including the Standing Police Capacity. They are composed of IPOs, FPUs, specialized teams, contracted seconded police and civilian experts.

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- DPKO/DFS Civil Affairs Handbook (April 2012)
- DPKO/DFS Guidelines on Joint Mission Analysis Centres (JMAC), (2015.04, March 2015)

Other related references

- United Nations Human Rights Up Front Action Plan (2014)
- DPKO/DFS Comparative Study and Toolkit on Protection of Civilians – Coordination Mechanisms in UN Peacekeeping Missions (2013)
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- DPKO/DFS Framework for Drafting Comprehensive Protection of Civilians Strategies in UN Peacekeeping Operations (2011)
- Global Protection Cluster Diagnostic Tool and Guidance on the Interaction between field Protection Clusters and UN Missions (June 2013)
- ICRC Professional Standards for Protection Work (2013)
- United Nations Field Security Handbook (January 2006)

- General Assembly Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual) (A/C.5/66/8, October 2011)
- United Nations Minimum Operating Security Standards (MOSS), (2004)
- United Nations Police (First Edition) Gender Toolkit: Standardised Best Practices on Gender Mainstreaming in Peacekeeping (2015) http://repository.un.org/handle/11176/387374

G. MONITORING AND COMPLIANCE

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

H. CONTACT

70. Office of the Police Adviser, Police Division, Office of the Rule of Law and Security Institutions, Department of Peacekeeping Operations.

I. HISTORY

71. This is the first iteration of these Guidelines.

APPROVAL SIGNATURE:

DATE OF APPROVAL: JUL 0 7 2017

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