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Formed Police Units in United Nations Peacekeeping Operations

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DPKO/DFS POLICY ON
Formed Police Units in United Nations Peacekeeping Operations

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A. PURPOSE

1. This policy defines the conditions of deployment, the role and composition of Formed Police Units (FPUs) deployed in United Nations peacekeeping operations. It directs the conduct of FPUs in the field, providing a clear delineation of the tasks, the appropriate use of force and the values that underlie the United Nations approach. Clearer guidelines, codes of conduct and command and control arrangements will facilitate the efforts of the United Nations Department of Peacekeeping Operations and Department of Field Support to ensure FPU members are fully prepared for their deployments; are fully trained and evaluated prior to and once they are in mission; and are held accountable for their actions in international service, including in the most serious cases of misconduct related to the use of force or sexual exploitation and abuse (SEA).

B. SCOPE

2. This policy applies to Special Representatives of the Secretary-General (SRSG)/Heads of Mission (HOM) and the police components of United Nations peacekeeping operations. A clear delineation of tasks and modus operandi will guide Heads of Police Components (HOPC) in a United Nations peacekeeping operation as to how and when he or she can usefully call on his or her FPU capacity and what he or she can and cannot task them to do.

3. This policy provides Member States with clear guidelines as to what is expected of the FPUs that they are planning to contribute.

4. All personnel of the Department of Peacekeeping Operations and the Department of Field Support at United Nations Headquarters (UNHQ) and in field missions, including

Individual Police Officers (IPO) and members of the military, civilian and other mission components, should also be made aware of and comply with this policy.

C. RATIONALE

5. A revision of the existing DPKO-DFS Policy on Formed Police Units in United Nations Peacekeeping Operations (Ref. 2009.32) became necessary due to the complexity of tasks being entrusted to FPUs that require specialized capacities not earlier envisaged. The number of FPUs authorized and deployed has grown tremendously and the circumstances in which they are deployed are increasingly complex. In recent years, there has been a rise in the scale and scope of asymmetric threats in a number of mission settings specifically targeting members of FPUs. The protection of civilians, while the obligation of all United Nations personnel whether police, military or civilian, has also become a principal responsibility of FPUs.

6. Comprehensive, in-mission assessments of all FPUs conducted by FPU Assessment Teams have revealed operational shortfalls partly resulting from a lack of guidance and clear standards for unit readiness. The High-Level Independent Panel on Peace Operations noted in its 2015 report that "improvements are needed in pre-deployment preparation and oversight in mission operational readiness to ensure that FPUs meet all necessary Statement of Unit Requirements (SUR) and training required for their tasks and in compliance with the necessary policy standards."

7. This policy constitutes the third tier of guidance developed under the Strategic Guidance Framework for International Police Peacekeeping initiative. The DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, which governs the activities of all United Nations police personnel, including FPUs, went into effect in February 2014, and subsequent Guidelines on Police Capacity-Building and Development, Guidelines on Police Operations, Guidelines on Police Command and Guidelines on Police Administration followed, making it necessary to revisit all existing guidance materials to ensure coherence with these guidance documents.

D. POLICY

D.1 Tasks and composition

D.1.1 Definition of a United Nations Formed Police Unit (FPU)

8. United Nations FPUs are defined as specialized, cohesive, armed mobile police units, 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 particular mission's 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.

9. Within the category of FPUs, there may be units with various expertise and specialized capacities either comprising their full strength or embedded within the unit. This

may include, but shall not be 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. The exact tasks and composition of FPUs, including personnel (strength, capabilities, command and control arrangements, specialized capacities, etc.) and equipment requirements shall be determined in the strategic assessment phase of the Integrated Mission Planning Process (IMPP) and detailed in the SUR. They may be subject to adjustment based on ongoing review.

10. FPUs are deployed under a Memorandum of Understanding (MOU) between the United Nations and the police-contributing country (PCC) within the contingent-owned equipment (COE) system described in the COE Manual.

11. The standard tour of duty for FPU personnel is one year and should not exceed 18 months.

D.1.2 Core functions, tasks and necessary skills/capabilities

12. The primary objective in assigning tasks to FPUs is to make the best possible use of their added value, which is derived from their ability to act as an armed, cohesive unit and their specialized weaponry, equipment and training, which give them a heightened robustness.

13. FPUs have three core functions:

(i) Protect United Nations personnel and property;
(ii) Contribute to the protection of civilians; and
(iii) Support police operations that require a formed response or specialized capacity above the capability of IPOs.

These tasks will in most cases be conducted in support of host-state law enforcement services. FPUs can, however, be called upon to act independently in accordance with the mission mandate and authorities allocated therein, for example, in the protection of United Nations personnel and facilities under imminent threat of danger or in the case of an executive law enforcement mandate. As the detention of individuals may become necessary in the function of these duties, it is imperative that FPU personnel fully comply with the Interim Standard Operating Procedures on Detention in United Nations Peace Operations (25 January 2010), its forthcoming successor or mission-specific guidance on the handling, questioning, search, transfer, handover and/or release of detained persons.

14. The **protection of United Nations personnel and property** shall include the protection of convoys, relocation or evacuation of staff and intervention where necessary for the protection of staff and in accordance with FPU capabilities. FPUs may be involved in providing protection to military personnel (military observer team sites) or military units, particularly enabling units, which may have a limited capability to deal with the types of incidents to which FPUs might typically respond. Specific protection tasks for United Nations personnel and facilities shall be defined in each mission in accordance with the crisis management arrangements set out in the DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (hereafter “Command and Control Policy”). Close protection and VIP escorts for the benefit of United Nations, international or national officials may be provided by FPUs if they are assessed to have such capacities and without prejudice to the presence of dedicated specialized units.

15. Static guard duties, which may reduce the operational intervention capability of an FPU, should only be provided by an FPU in exceptional cases unless the FPU is conceived as a guard unit. When engaged in the protection of fixed locations, the FPU should not be broken down further than its smallest deployable unit (10 police officers). FPUs should not be involved in activities related to the standard internal security of detention facilities.

16. As cohesive units, FPUs **contribute to the protection of civilians (POC)** by providing a formed response to threats to public order. FPUs are armed and can carry out high-visibility patrols and provide protection to unarmed patrols or escorts for convoys. As such, they are more likely to be in the front line of protection. Where FPUs are part of a mission, their POC role should be considered at the outset, including by the initial Technical Assessment Mission (TAM) team and by the drafters of the mission Concept and the police Concept of Operations (CONOPS), and by planners involved in the development of the comprehensive POC strategy for the mission.

17. In all aspects of their operations, FPUs shall ensure their compliance with human rights standards. They shall be trained to recognize potential human rights violations; shall promptly record and share allegations of violations through their chain of command; and shall be prepared to intervene, including through the use of force where mandated and in accordance with their specific roles, responsibilities and the limits of their competence and capacity, to stop ongoing human rights violations and to protect civilians. Senior police commanders shall ensure that adequate instructions and procedures are in place from the onset of a peacekeeping operation or special political mission to guide United Nations police (UNPOL) actions when confronted with human rights violations while performing their functions, including duties to record and report observed human rights violations to the human rights component. Specific human rights training shall be provided to FPU personnel during their induction.

18. The roles of FPUs should be based on an assessment of threats and vulnerabilities of the civilian population. This role can consist of operational support to the host-state police, for example, in mutually supportive public order management. Other activities aim at deterrence through high-visibility patrols or maintaining a presence in vulnerable areas identified by mission POC mechanisms. FPUs should be assigned tasks – joint patrols or joint exercises, for example – based on their particular added value, namely their ability to act as a cohesive unit, their special weapons and equipment, and their specialization.

19. The 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. Because POC situations may be fluid, strong coordination mechanisms between the police and military components are to be developed where FPUs are engaged in POC activities in accordance with the Command and Control Policy and the Guidelines on Police Command.

20. **Support for police operations that require a formed response or specialized capacity** may include high-visibility patrols and joint patrols with IPOs and/or host-state law enforcement, as well as public order management, intervention and tactical progression. Such activities often occur in unfamiliar and hostile environments where the security situation can easily deteriorate, hence FPUs must be proficient in public order management, weapons handling and shooting, as well as specific police tactics and techniques required for peacekeeping in accordance with international policing and human rights standards.[1]

[1] Minimum requirements are envisaged in the UN Pre-deployment Training Standards for FPUs.

21. If specialized capacities, such as SWAT teams/units, canine units, etc., are to provide operational support, their proficiency and skills for a particular task should be identified, tested and assessed by the Deputy-Chief of Operations for Formed Police Units (hereafter "Deputy-Chief Ops (FPU)"), who advises the HOPC accordingly on availability and operational capacity. Such specialized support should be provided solely on an interim basis and should feed into the United Nations police's capacity-building efforts to ensure that operational shortfalls within the host-state police are redressed.

22. Public order management (POM) tasks, including crowd and riot control, can be performed within any of the above core functions of FPUs. The main focus of POM is to facilitate the population's exercise of fundamental rights without disturbance or unjustified hindrance while preventing grave harm to public safety. This competence of FPUs shall be applied within strict human rights legal frameworks, using force only when necessary and to the extent required for the performance of legitimate police functions and adhering at all times to the principle of proportionality. The execution of POM tasks requires sound planning based on threat assessments; dialogue with stakeholders (such as the host-state authorities and, wherever possible, representatives of involved or affected citizens groups); coordination with other mission components; and the establishment of a clear chain of command leading to a senior UNPOL officer. The public and media should also be engaged to explain the role of de-escalation and zero tolerance for violence.

23. Capacity-building is not considered a core task of FPUs. As a general rule, if training experts are required, they should be recruited separately and serve with United Nations police capacity-building programs in order to provide relevant long-term expertise to build sustainable host-state capacity. However, if the mandate and the security situation allow for a diversion from the core tasks into capacity-building and if an FPU has dedicated training capabilities, an FPU may support capacity-building programs, together with relevant mission components, for the benefit of host-state law enforcement services.

24. In assigning tasks to FPUs, their added value as a formed unit with policing expertise should be of foremost importance. FPUs should not be treated as a reserve labor force and should not be broken down to the extent that they become unable to perform their core tasks effectively. Their resources (COE vehicles, equipment, etc.) deployed for self-sustainment purposes should not be used for non-FPU related assignments, and they should not be assigned any responsibility that is not related to policing and that is not within their field of expertise. The Deputy-Chief Ops (FPU) should advise the HOPC if that added value may be undermined due to an overload of non-essential assignments.

25. All FPU functions should be carried out on the basis of reliable intelligence or information and a subsequent threat assessment, drawing on information from other relevant mission components such as the human rights component or the Joint Mission Analysis Centre (JMAC). FPUs should be tasked in the form of tasking orders provided by the FPU Coordination Office. Each tasking order should be provided in written form and should consist of, at a minimum: 1) the operational situation; 2) foreseen scenarios; 3) a threat assessment; 4) other actors involved and rules of cooperation or support; 5) specific tasks to be performed by the FPU; 6) minimum human resource and equipment requirements; and 7) communication, reporting and accountability. Whenever possible, framework tasks and detailed taskings should be required as part of a larger operation.

26. If the situation requires immediate action by an FPU due to an imminent threat to the protection of civilians or health crisis, the tasking order can be issued verbally and then confirmed in written form as the situation allows but within 24 hours.

D.1.3 Organization and composition

27. The composition and organization of FPUs may vary due to mission-specific requirements as determined in the strategic assessment phase and described in the SUR. However, this policy provides regulations for *minimum* requirements. A standard composition and organization consists of three components: 1) command and operation; 2) logistical support; and 3) executive component, to make up a desired minimum strength of 160. Special components or embedded special units should be added based on mission-specific requirements.

28. The command and operation component includes the Commander, the Deputy Commander, Platoon Commanders, Section Leaders, Duty Officers, Liaison Officers and Operations Officers.

29. The logistical support component is supervised by the Logistics Officer and may vary in size but should have sufficient capacity in terms of trained craftspeople and personnel to provide all services to the FPU in accordance with the MOU.[2]

30. The operational capacity consists of command and operation staff and executive personnel deployed in interoperable tactical sub-units (platoons). The minimum number of platoons is four, consisting of approximately 32 officers each. For FPUs with mainly POM tasks, specialized capacities may be added but shall not count towards the minimum operational capacity of 135 required for POM. Regardless of the overall strength of a company-size FPU, operational personnel should constitute a minimum 85 per cent of the unit, while support personnel should not exceed 15 per cent.

31. Platoons are made up of sections, consisting of a *minimum* of ten (10) operational members each. Sections make up the smallest deployment unit and cannot be broken down further. They should only be deployed in their smallest formation for limited durations in order to safeguard the added value of an FPU as a formed unit, and particular attention should be paid to the risk environment. Defining the smallest deployable unit is also pivotal in the context of setting readiness standards and equipment requirements. As the smallest deployable units, sections should be able to operate independently, which entails specific command skills at the level of the section leader, as well as command experience and fluency in the mission language.

32. As a general rule, FPUs should not be split, as this can negatively affect command and control, discipline, managerial accountability and logistics. In the event of the deployment of a unit to a remote area, the unit should not be smaller than one platoon, with the required logistical support that would allow it to survive for the required period of time, which should not exceed three months. An adequate structure of command and control and COE provisions must be envisaged during the planning phase and indicated in the SUR.

33. All members of the command and operation component as well as Logistics and Medical Officers should be able to communicate in the working language of the mission. For Medical Officers and Section Leaders, basic communication skills are sufficient. If the working language is not English, it is recommended that at least 50 per cent of the FPU

[2] This may include the maintenance and repair of all major contingent-owned equipment such as vehicles, generators, water treatment plants and weapons, and the provision of qualified experts able to maintain and serve the agreed self-sustainment services and categories, such as catering, minor engineering, medical level 1, laundry, cleaning and accommodations.

command element is able to communicate in the working language, while the remainder should be proficient in English. The use of language assistants may be necessary at times, especially during patrols, to increase FPUs' situational awareness and understanding of local protection needs, but due consideration should be given to the level of security and confidentiality required for certain tasks or operations.

34. Female police officers play a critical role in all of the various tasks of FPUs, including POM, specialized capacities like SWAT and high-risk operations. They are indispensable during high visibility patrols and cordon and search operations, particularly pat-down searches of women. In some societies, only female police officers are allowed to interact with female members of the community. Additionally, in post-conflict environments where sexual- and gender-based violence may have been rampant or used as a method to pursue the aims of the conflict, community members may be more likely to approach female police officers. Thus, they enhance operational effectiveness and help to rebuild the trust that is essential for re-establishing the rule of law.

35. Female officers not only ensure the principle of responsive service delivery to all community members but also a representative police service. They help promote gender equality, and they can act as role models by inspiring local women and girls to pursue careers in law enforcement. The results indicate that mixed-gender units, in which at least one platoon (32 officers) is composed of female officers, have more operational impact and as such should be prioritized for deployment.

36. FPUs may also contain an additional discretionary national support element (NSE).[3] NSE personnel and equipment provided by a PCC shall only perform national administrative and logistical functions. NSE personnel are not included in the number of agreed staff as per the MOU between the United Nations and the host state, and PCCs are required to assume all costs associated with NSE deployment and operation.

D.2 Command, control and coordination

D.2.1 Command relationship for Formed Police Units

37. This policy envisages one of the following three models for the command and control arrangements of the FPU component, to be determined in the strategic planning process.

- FPUs are managed at the mission HQ level to be deployed throughout the mission area on demand.
- FPUs are assigned to the area of responsibility in accordance with the overall regional United Nations police structure and under the operational control of United Nations police regional commanders.
- Some FPUs in a mission area are distributed to police regions, while the remainder are managed at the mission HQ level.

38. Examples of organizational charts are included in Annex 1. In the above cases, primary command is vested in the HOPC and delegated to the Deputy-Chief Ops (FPU) or Regional Commanders, depending on the circumstances described below. FPUs shall not receive or transmit any operational directives or tactical commands from their national

[3] An NSE is optional. The exact size and composition of the NSE will be determined by the PCC in coordination with the United Nations, normally during the negotiations for the MOU. The exact capacities and composition of the support element will vary depending on the mission structure and mandate, as well as on which capacities already exist in the police component or the mission as a whole.

authorities or a military command operating in the mission area or elsewhere, except if specific arrangements for unified command and control are authorized by UNHQ.

39. In accordance with the Command and Control Policy, the command relationship for FPUs is defined as follows:

UN Operational Authority	Operational authority is transferred by Member States to the United Nations, vested in the Secretary-General, under the authority of the Security Council and executed by the HOM through the HOPC.
Command	The command of the FPU is vested in the HOPC or his or her delegates, Deputy-Chief Ops (FPU) and Regional Commanders. The order for the operational engagement will only come from the HOPC or his or her delegates in consultation with the HOM.
Operational Control (OPCON)	The HOPC can delegate OPCON to the FPU Commander, who will have operational control of his or her unit. In case of an operation that involves sections or platoons from more than one FPU or involves more than one FPU, the units or sub-units report through their own chains of command. The Deputy-Chief Ops (FPU) shall assign a delegate to coordinate these joint activities and assume responsibility for the tactical command of all FPUs involved until the completion of the operation.
Tactical Command (TACOM)	The FPU Commander will have tactical command of the unit. In case of an operation that involves units from more than one FPU, the Deputy-Chief Ops (FPU) or his or her delegate assumes responsibility for tactical command of all units involved until the completion of the operation.
Tactical Control (TACON)	The FPU Commander or the respective subordinate unit commanders are responsible for the tactical control of an operation or specific action.

40. As the appropriate use of specific capacities requires specialized command skills, specialized units shall be under the command and operational control of the HOPC or his or her delegates, the Chief Operations, the Deputy-Chief Ops (FPU) and Regional Commanders. In the execution of a specific task, specialized units are under the tactical control of whoever leads the operation or specific action but remain under the tactical command of their commander. Where specialized units are dispatched to execute a task on their own, without the involvement of other FPUs or IPOs, tactical control is exercised by the commander of the specialized unit. The Deputy-Chief Ops (FPU) shall advise the HOPC on the capabilities, availabilities and potential limitations of the specialized units.

41. If deployed as part of or attached to a national FPU, formed specialized units can be co-located with their national FPU. If they are provided as a separate resource by another country, they can be deployed to hotspots or retained at the mission HQ level to be dispatched where and when needed.

42. FPUs should consider the collection, assessment and analysis of intelligence (i.e., processed information on crimes and criminality, as a basis for planning by FPU commanders) as one of their tasks. Such information shall be submitted in the form of After

Action Reports to the Deputy-Chief Ops (FPU) and shared with the JMAC, Joint Operations Centre (JOC) or Criminal Intelligence Unit (CIU), as well as mission POC mechanisms. Details about communication, information and reporting shall be defined by mission guidance. With more and more operations being conducted in semi-permissive environments, including where the distinction between military and non-military threats has become more blurred, FPUs need to gather information for, at a minimum, their own protection and the safety and security of peacekeepers. Patrolling is not only a preventive activity that builds popular confidence but also enables FPUs to familiarize themselves with local surroundings and gather information.

D.2.2 Cooperation and coordination

In accordance with the Command and Control Policy, the HOM is the senior UN representative and has overall authority over the activities of the United Nations in the mission area. The HOPC reports to the HOM. The police component shall consult and coordinate the planning and execution of all major police operations and (re)deployments with their civilian and military counterparts. Effective cooperation among different mission components and other partners is essential for the achievement of mission goals. The Deputy-Chief Ops (FPU) shall advise the HOPC on cooperation issues related to the deployment of FPUs and can be designated as the main point of contact by the HOPC. Details of cooperation and coordination shall be stipulated in mission-specific guidance.[4]

43. The basic framework for cooperation within the United Nations police is laid out in mission-specific guidance. FPUs can interact with other UNPOL components in the following three ways:

- FPUs can act autonomously, i.e., without a link to other components or units, directly subordinate to the Deputy-Chief Ops (FPU) or the HOPC.
- FPUs can be tasked to support other parts of the UNPOL component, subordinate to the Regional Commander.
- FPUs can form one tactical unit in a large-scale operation with the involvement of another part of the police component. The HOPC must clearly delegate tactical control in advance of an operation or police action.

Cooperation with host-state police and other law enforcement agencies

44. The extent and limitations of cooperation with the host-state police will depend on the mandate of the UNPOL component as a whole and must be clearly delineated in mission-specific guidance. The main areas of cooperation with the host-state police are the planning and conduct of police actions or operations in compliance with the Human Rights Due Diligence Policy. Cooperation can occur in two main ways:

- FPUs share tasks with the host-state police in a certain region in specific fields of policing or for predefined actions, such as joint patrols. This should be clearly defined in mission-specific guidance.[5]

[4] See also the DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions and accompanying Guidelines on Police Capacity-Building and Development, Police Operations, Police Command and Police Administration for more information on general roles and responsibilities of the key pillars of the police component.

[5] Depending on the mandated tasks of individual UNPOL officers, they may also be present and/or involved in an action or operation.

- FPUs are engaged alongside the host-state police in the same incident at the same time, such as during demonstrations or incidents of public disorder.

45. Coordinated actions should be pre-planned as requested by the chain of command in response to specific events or may arise at short notice in response to unexpected situations involving potential or actual civil disorder.

46. Where FPUs and host-state police conduct a police action together, each unit is led by its own commander, unless the United Nations police have an executive interim policing and law enforcement mandate and, on that basis, commands both the United Nations and host-state units. In the latter case, the action shall be led by the FPU Commander or, where more than one FPU is involved, by the Deputy-Chief Ops (FPU) or his or her designated representative, who should be of suitable rank. The allocation of command must be clarified with host-state authorities either in general or prior to a specific action. Joint training and exercises involving FPUs and the host-state police are encouraged.

Cooperation and coordination with the UN military component

47. As a general rule, tactical control of FPUs remains in the United Nations police chain of command. Where police and military units support each other in an operation, FPUs should strictly fulfil their tasks within their means and capabilities, based on the mandate and the respective orders of the HOPC. In addition to the overall framework for police-military cooperation, the exact division of responsibility and areas of operation should be defined for each joint action. A joint coordination mechanism advising both police and military command and control is to be established.

48. In joint operations with the military component, a police tactical area of operation and surrounding military security support zone should be established to define the respective tactical area of responsibility. Police operations are conducted under the tactical control of the designated police commander at the site in the inner tactical area of operation. The police shall not transfer primary responsibility for resolving rule-of-law incidents to the military component unless the local threat reaches a level that is determined by the HOPC's delegate at the site of the incident to be beyond police capacity.

49. The military component can be deployed to support the police operation. Both areas shall be defined in terms of time and space, as outlined in the operational planning documents, and the transfer of authority should be planned in advance. Any component entering the area of responsibility of the other[6] shall be located under the tactical control of the police and military commander present at the site. In such scenarios, a joint command post should be established where representatives of the police and military follow and tactically coordinate the operation.

50. For situations of public disorder, the following arrangements shall be in place and are in accordance with the Command and Control Policy. These arrangements should be reflected in the UNPOL component's SOPs and directives on the use of force.

51. Situations of public disorder of a *non-military* nature: This generally refers to situations where there is no sustained and large-scale use of firearms or military weaponry. In such circumstances, the FPUs should have primacy in addressing such situations in support of or in cooperation with the host-state police and other law enforcement agencies,

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

as applicable. The HOPC or his or her delegate [i.e., Chief Operations, Deputy-Chief Ops (FPU) or Regional Commander] may request personnel of the military component and/or other security personnel of the mission to perform specific missions or tasks. In these situations, the UNPOL officer designated by the HOPC or his or her delegates at the location of the incident will exercise tactical control and have overall command. The assignment of military personnel must be approved and coordinated with the Head of the Military Component (HOMC) or Sector or Battalion Commander, as applicable.

52. Situations of public disorder of a *military* nature: This generally refers to situations of public disorder where there is sustained and large-scale use of firearms or military weaponry. In such circumstances, units of the military component should have primacy in addressing such situations in support of or in cooperation with the relevant host-state agencies, as applicable. The HOMC or Sector or Battalion Commander may request FPU personnel and/or other security personnel of the mission to perform specific missions or tasks. In these situations, the most senior Military Commander at the location of the incident will exercise tactical control and have overall command. The assignment of FPU personnel must be approved and coordinated with the HOPC or his or her delegate [i.e., Chief Operations, Deputy-Chief Ops (FPU) or Regional Commander].

53. In a third scenario, under specific conditions and with the approval of the SRSG police and military personnel may serve under a unified and centralized structure commanded by a senior UNPOL officer designated by the HOPC or a military officer designated by the Force Commander. The commander will be responsible for leading the joint task force's daily operations and operational control in a given geographic area, except if the threat reaches that of a military nature. This type of command structure may only be changed by the SRSG and would not apply to the operational control of police or military units outside the given geographic area. The HOMC may deploy units of the Force Command Reserve to support the joint task force, although such units shall remain under his or her operational control.

54. The above-mentioned arrangements should not result in any operational delays to address situations of public disorder. In this regard, SOPs shall be adopted by the mission and training and exercises, including simulations, should take place on a regular basis. Modalities of cooperation and clear benchmarks that indicate when a transition back to normal operations is to take place should be stipulated in mission-specific documents, developed in advance and approved jointly by the HOMC and the HOPC. Lessons learned in addressing situations of public disorder should be shared with the Police Division and the Office of Military Affairs of the Department of Peacekeeping Operations for advice and evaluation.

Cooperation and coordination with the UN human rights component

55. Information and analysis from the human rights component can help inform FPU strategies for selecting hotspots for action, implementing their obligations under the Human Rights Due Diligence Policy (HRDDP), etc. Formal mechanisms between the human rights and police components shall be established to facilitate cooperation and information-sharing and to support the overall peace operation and political mission's mandates. The HOPC shall cooperate closely with the head of the human rights component to anticipate, plan and prepare for possible crises, an escalation of violence and upsurges of human rights violations, within the limits of their mandate and capacity.

56. The roles and responsibilities of each component shall be clearly established and internal procedures shall be developed to ensure rapid preventive and protection responses.

Any joint operations or tasks should be conducted in accordance with the HRDDP, and the behavior of host-State authorities being supported by UNPOL should be monitored and reported to the human rights component to inform subsequent risk assessments. It is vital that any information on observed human rights violations is recorded and shared through the appropriate chain of command. The HOPC and UNPOL Senior Management Team shall determine how such information will be shared with other entities as per the existing guidelines and procedures.

Cooperation and coordination with the contributing country

57. FPU contributing countries maintain administrative control over their personnel and establish national administrative reporting arrangements with their deployed police personnel and contingents. Police personnel assigned to serve under United Nations operational control shall not act on national direction or instructions if those instructions may result in actions contrary to United Nations policies or adversely affect the implementation of the mission's mandate.

58. National caveats and controls can hamper the ability of field commanders to ensure performance. UNHQ shall weigh specific caveat(s) when a contingent is offered against the value of its deployment, and it should consider declining an offer if the caveats will impede performance. In the field, any further caveats beyond those national constraints expressly accepted by UNHQ at the outset shall not be condoned. Any such restrictions should be reported to UNHQ, where decisions should be made regarding the viability of a contingent's continued deployment. HOMCs and HOPCs should record instances of failure to follow orders and report these to UNHQ as disobedience of lawful command, with a full summary provided regularly.[7]

D.2.3 Role of the Deputy-Chief of Operations for Formed Police Units

59. In missions where more than one FPU is deployed, the primary deputy of the Chief of Operations shall be the Deputy-Chief Ops (FPU). The Deputy-Chief Ops (FPU) is the relevant person in the command and control structure for all matters related to FPUs. While the Deputy-Chief Ops (FPU) is under the authority and command of the Chief of Operations, he or she also plays a direct advisory role for the HOPC. The Deputy-Chief Ops (FPU) should hold the rank of no less than police Major or equivalent and have at least 10 years of operational police experience, including a minimum of five years in POM. All FPUs are subordinated to the Deputy-Chief Ops (FPU), unless the HOPC delegates this authority to regional UNPOL commanders. Even in such circumstances, the Deputy-Chief Ops (FPU) performs overall supervision of the FPUs.

60. The specific tasks of the Deputy-Chief Ops (FPU) have to be clearly defined in the mission's Operational Plan (OPLAN). At a minimum, his or her responsibilities include the following:

- Plans and coordinates all tasks and police actions or operations of the FPUs based on orders issued by the HOPC or his or her delegates and within his or her delegated responsibility.
- Tactically leads units from more than one FPU in a given police operation.

[7] Report of the High-Level Independent Panel on Peace Operations, 16 June 2015.

- Acts as an adviser to the HOPC and other senior staff at mission HQ and regional commands on all topics related to FPUs, including their deployment, planning and staffing, with due consideration of gender-related issues.
- Coordinates and cooperates with other relevant actors in the mission area, including the host-state police, on FPU-related activities.
- Supervises and assesses the performance of FPUs; plans and organizes appropriate training, in accordance with pre-deployment standards.
- Coordinates and manages administrative and logistical aspects of the FPUs.

A detailed job description for the Deputy-Chief Ops (FPU) is included as Annex 2.

61. To facilitate the tasks of the Deputy-Chief Ops (FPU), an FPU Coordination Office at mission HQ shall be established. The staff in this office is dedicated to supporting the Deputy-Chief Ops (FPU) in his or her responsibilities, including decision-making, planning, supervision, coordination, liaison, administration and information dissemination. The size and composition of the office depends on the mission's size and structure as well as the expected workload. However, at a minimum, there should be two officers assigned for each FPU. All officers designated to the FPU Coordination Office should have at least two years of relevant experience in POM, experience as a Commander or Deputy Commander of an FPU, or successful completion of an United Nations-certified FPU training program (i.e., FPU train-the-trainers or FPU coordinators course).

62. If the FPUs are deployed to a remote area, a regional coordination cell should be created on location. This cell should work in cooperation with the Regional Commander, who maintains operational control over the unit(s). The FPU will still rely on the FPU Coordination Office at mission HQ for non-operational matters. Detailed arrangements should be stipulated in the OPLAN of the respective mission.

63. A Training Officer should be designated within the FPU Coordination Office to oversee the delivery of various training programs for FPUs, including induction training, in-mission refresher courses and joint exercises with the host-state police.

D.2.4 Conduct and discipline

64. In the performance of their tasks and in all activities whether on or off-duty, all FPU members should maintain the highest standards of conduct, including adherence to the prohibition against engaging in any act of sexual exploitation or abuse. It is the responsibility of commanders to prevent acts of misconduct among subordinates in line with the revised model MOU for FPUs. Commanders must report any misconduct of their subordinates. Failure to exercise effective command and control and/or take action with respect to allegations that are reported to him or her in connection with instances of SEA may result in a finding of misconduct or serious misconduct, in addition to being reflected in the commander's performance appraisal.

65. General Assembly resolutions 65/289 and 66/264 stipulated that no payment is to be made with respect to individual peacekeepers who have been repatriated for disciplinary reasons, such as violation of the zero-tolerance policy towards matters of SEA. In this regard, in paragraph 64 of the report A/69/779, the Secretary-General informed the General Assembly of his intent to facilitate this decision of the General Assembly by suspending payments to police-contributing countries in connection with an individual suspected of SEA. Should a duly authorized investigation substantiate allegations of SEA, any payments already made with respect to the implicated member(s) of the FPU will be retroactively recovered from the date of the incident. Further, individual contingent and police personnel

under investigation for SEA may be ineligible for risk premiums (see para. 91 for more information).

D.3 Use of force

66. FPUs must always exercise their functions in strict accordance with the relevant UN Security Council resolution(s) and other official issuances applicable to the mission to which they are assigned, as well as international human rights and humanitarian laws, international criminal justice norms and standards, and international policing standards.[8]

67. Among relevant standards, the use of force by FPUs is regulated by the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (hereafter "Basic Principles"), the Code of Conduct for Law Enforcement Officials (hereafter "Code of Conduct") and mission-specific guidance, such as a Directive on the Use of Force (DUF). In accordance with the Command and Control Policy, a technical directive regulating the use of force for FPUs shall be issued by UNHQ at the commencement of a mission. It must cover all aspects raised in para. 11 of the Basic Principles on the circumstances of the use of force, its management and the maintenance of equipment.

D.3.1 Principles of use of force

68. The deployment and operations of FPUs shall always be based on the principles of legality, necessity (including minimal and graduated levels of force), proportionality and accountability[9], and all actions of FPUs shall be aimed at the protection and preservation of human life, property, liberty and dignity. Exceptional circumstances do not warrant deviation from the Code of Conduct and the Basic Principles.

69. In the event of injury, death or property damage, the Command and Control Policy assigns the responsibility to investigate any use of force to the HOPC. In the event of injury or death to unarmed or otherwise vulnerable civilians during an incident involving the participation of armed FPUs, an internal inquiry or investigation is mandatory, with a view to ensuring that any personnel who use excessive force deliberately or with gross negligence are held accountable and that victims are provided with prompt and adequate compensation. Inquiries must be sufficiently independent, impartial, effective, prompt and transparent, in particular towards the victims or their bereaved families.

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[8] As set forth inter alia in the relevant provisions of the following legal instruments: Universal Declaration of Human Rights (Adopted and proclaimed by General Assembly resolution 217 A (III) of 10 December 1948); International Covenant on Civil and Political Rights (adopted by the General Assembly resolution 2200 (XXI) of the United Nations on 16 December 1966; treaty in force since 23 March 1976); Convention Against Torture and Other Cruel, Inhumane or Degrading Treatment or Punishment (adopted by the General Assembly resolution 39/46 on 10 December 1984; treaty in force since 26 June 1987); Convention on the Rights of the Child (adopted by the General Assembly resolution 44/25 on 20 November 1989; treaty in force since 02 September 1990); Standard Minimum Rules for the Treatment of Prisoners (Economic and Social Council resolution 663(c) (XXIV) on Prevention of Crimes and Treatment of Offenders of 31 July 1957); Body of Principles for the Protection of All Persons Under Any Form of Detention or Imprisonment (General Assembly resolution 43/173 of 09 December 1988); Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169 of 17 December 1979); Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990).

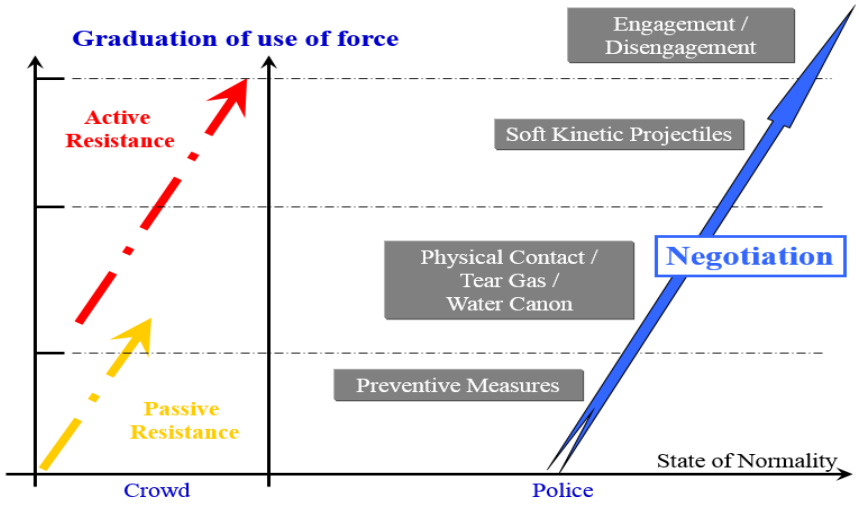
[9] See the Basic Principles and Code of Conduct for more information on what these four principles entail.

70. In accordance with para. 1 of the Basic Principles, mission-specific guidance shall be issued in each case, clarifying the authorization of FPUs to carry weapons (lethal and less lethal) and use force and firearms, including the precise specifications of the firearms and other items of police and law enforcement equipment. Integrated strategies on the protection of civilians and joint military/police standard operating procedures shall also include provisions on the role of FPUs.

71. In accordance with the Basic Principles, FPUs shall not use firearms against persons except in self-defence or the defence of others against the imminent threat of death or serious injury, to prevent the perpetration of a particularly serious crime involving grave threat to life, to arrest a person who presents such a danger and resists their authority or to prevent his or her escape, and only when less extreme means are insufficient to achieve these objectives. In any event, intentional lethal use of firearms may only be made when strictly unavoidable to protect life against an imminent threat. This principle must be applied in strict accordance with the use of force as authorized by the UN Security Council, the mandated tasks and the FPU's capabilities.

D.3.2 Necessity and gradation of force

72. Gradation of the level of response and early involvement to prevent the possible escalation of the situation are the norm. Dialogue, mediation, communication-based crowd control strategies and proactive de-escalation strategies must be applied whenever possible. The use of any force is the last resort, only to be introduced when it is strictly necessary for the maintenance of public order, so as to protect life and property and to prevent a serious deterioration of the security situation. In accordance with the Basic Principles, an escalation in the level of force should only take place if preceding measures have proven ineffective or hold no promise of achieving an authorized objective.



D.3.3 Proportionality

73. Situations that FPUs might face can be roughly grouped into three levels of threat. More detailed tactics, such as the continuum for the gradation of the use of force, including escalation and de-escalation, are described in training curricula and mission-specific guidance.

Situation	Threat level	FPU approach

Regular, neutral or passive situation, such as during lawful and peaceful assemblies	Normal	Presence, dialogue, information and deescalation
Non-compliant, resistant or evasive situation that presents a non-deadly threat, such as during unlawful but non-violent assemblies	Serious	Show of force and, where all other means of peaceful de-escalation have failed, use of force in a reasonable and proportional manner, using only less-lethal means and weapons
Situation has escalated to present an imminent deadly threat or serious bodily harm to police officers or bystanders	Imminent	Application of proportional and reasonable use of firearms, with intentional lethal force only where absolutely necessary to protect life

In all cases, only the minimum necessary level of force should be used. For example, if the threat of serious bodily harm to an FPU member can be safely countered by less-lethal means, these should be used first.

74. In every case, police and law enforcement officials must identify themselves as such. Any escalation in the use of force has to be preceded by clear warnings of the intent to use force and firearms and an effort to ascertain whether warnings have been understood.

D.3.4 Reporting and accountability

75. The Basic Principles and the Code of Conduct demand prompt reporting in every instance when a firearm has been discharged or when serious injury or death has been caused by any use of force, including where FPUs carry out joint action with host-state police services that use firearms. While further reporting procedures and arrangements are to be defined in mission-specific guidance, incident reports must be written and submitted – in the first instance – to the Deputy-Chief Ops (FPU) every time an FPU has been involved in an operation or action.

76. Any incident resulting in injury or death should be subject to a sufficiently independent, impartial, effective, prompt and transparent inquiry that can provide the basis for individual accountability and compensation.

77. As a standard practice, all FPU members, when reporting for duty, should be assigned a firearm identified by a serial number. Relevant registers must be kept in each unit to assign clear accountability for the use of weapons.

D.3.5 Training and qualifications for the use of force

78. In accordance with the Command and Control Policy, the HOPC is responsible for ensuring that FPU members are well-trained and familiarized with the technical elements of the DUF. Appropriate training will enable FPUs to deal with difficult circumstances in line with a restrictive approach to the use of force while at the same time protecting the lives of civilians. Readiness standards for FPUs to be deployed in UN peacekeeping operations should include regulations on the training required before authorizing the use of firearms and what type of documentation must be submitted as evidence that training has been completed satisfactorily.

D.3.6 Implications for equipment

79. As described in the Basic Principles, the ability to use force appropriately and in accordance with international standards is contingent upon the availability of adequate equipment. In order to feel secure to apply the absolute minimum force, FPU members should have adequate protective equipment, including items such as full body armour, helmets and shields. This is an essential prerequisite for the gradation of force and for an FPU to qualify for deployment in a UN peacekeeping operation.

80. Similarly, an FPU must have a range of weapons – and the skills to use them appropriately – in order to be able to escalate the level of force in a gradated manner, including less-lethal weapons that are defined as devices used to stop, control and restrain individuals while causing less harm than lethal force to the individual as well as the police officer and any bystanders.

D.4 Training and unit validation

D.4.1 Pre-deployment training

81. Prior to deployment to UN peacekeeping operations, FPUs must be trained to a standard whereby they are competent in the subjects contained in the UN Pre-deployment Training Standards for FPUs and possess the required skills in:

- Police tactics and techniques in peacekeeping operations;
- Public order management;
- Use of less-lethal weapons and firearms;
- UN standards of conduct, including the prevention of SEA; and
- Human rights and international humanitarian law.

82. Initial deployment and rotations of FPUs are also contingent upon FPU-contributing countries abiding by their obligations under the Policy on Human Rights Screening of United Nations Personnel (2012). In particular, the United Nations shall neither select nor deploy any individual who has been involved in violations of international human rights or humanitarian law.

83. While training remains the responsibility of the PCC, the United Nations provides the following guidance on the training that FPUs shall receive prior to their deployment.

84. All FPU staff should receive pre-deployment training based on the UN Peacekeeping Pre-deployment Training Standards for FPUs approved by the United Nations Police Adviser/DPKO and Chief of the Integrated Training Service/DPET, in accordance with the Policy on Support to Military and Police Pre-deployment Training. Firearms qualifications shall reflect the types of weaponry stipulated in the regulations on equipment. FPU contributing countries should consider using officers who have recently rotated out to lead this training. The duration of pre-deployment training will depend on the internal arrangements of the PCC; however, a minimum of eight weeks should be devoted exclusively for the delivery of the content envisaged in the UN Pre-deployment Training Standards for FPUs.

85. The UN Peacekeeping Pre-deployment Training Standards are based on UN and DPKO-DFS doctrine and guidance on UN policing and should be updated accordingly. New or updated Pre-deployment Training Standards will be communicated to Member States and the Special Committee on Peacekeeping Operations (C-34), and posted on the

Peacekeeping Resource Hub (http://research.un.org/FPUPackage/) so that they are accessible to peacekeeping training institutions in a timely manner.

86. Pre-deployment Training Standards shall also form the basis for the Assessment of Operational Capability (AOC) conducted prior to deployment by United Nations Formed Police Assessment Teams (FPAT) as well as for the in-mission training and performance assessment of FPUs.

D.4.2 Pre-deployment assessment

87. All FPUs to be deployed to a UN peacekeeping operation will be assessed by an FPAT on operational capacity and readiness, the professional background of the unit and specific training received.

88. The AOC is mandatory, and AOC clearance is a prerequisite for service in a peacekeeping operation. The AOC should take place no less than one month before the planned deployment date to ensure enough time to take remedial action should the FPU not meet all requirements of operational capability. During the AOC, the fulfilment of certain requirements is assessed by the FPAT directly, while the contributing country certifies the fulfilment of the other requirements.

89. Only certified instructors are authorized to conduct the AOC. AOC instructors shall be either United Nations Police Division (PD) staff members or UNPOL police officers serving in the FPU Coordination Offices of field missions who successfully completed the certification process conducted by PD.

90. For an FPU to qualify for deployment in a UN peacekeeping operation, it must meet the criteria specified in the DPKO-DFS Standard Operating Procedure (SOP) on Assessment of Operational Capability (AOC) of Formed Police Units for Service in United Nations Peacekeeping Operations and pass the requirements imposed by the Policy on Human Rights Screening of United Nations Personnel.

91. On the basis of the AOC results, the United Nations Police Adviser, in consultation with the DPKO and DFS leadership, shall decide on the deployment of the unit. Unsuccessful FPUs will have to undergo retraining and retesting in accordance with the SOP on AOC.[10]

92. It is the responsibility of the contributing country to provide the required pre-deployment training, to conduct pre-AOC exercises and to pre-screen the FPU and its members so that they meet the requirements of operational capability, as set forth in the SOP for the Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations.

D.4.3 In-mission training

93. All FPU members shall receive mandatory induction training and additional induction requirements that may be added for FPUs in-mission. This should be at least one week in duration and take place within the first month of deployment. In-mission training should include practical exercises with the military component, if one exists. FPUs of different nationalities should participate in joint tactical operations to ensure interoperability. FPUs

[10] The assessment regime is distinct from the training recognition process outlined in the SOP on Training Recognition. Training recognition is not a substitute for assessment as outlined here.

should also receive training on the use of force, protection of civilians and human rights. Further training could emphasize knowledge of and compliance with relevant standard operating procedures and mandates related to the protection of civilians and detention and internal mission guidance on the reporting allegations of human rights violations. Separate training for command staff shall take place.

94. Relevant in-mission training, including joint exercises with military components on crowd management, should be a standard practice to maintain the operational readiness of units. FPUs, along with United Nations military and host-state police counterparts, should conduct scenario-based joint exercises to enhance interoperability and to ensure that clear command and control arrangements are in place and understood by all. In this regard, SOPs should be adopted by the mission and regular training and exercises should be organized.

95. Every FPU shall have its own dedicated staff to manage internal training and a training regime. The Deputy-Chief Ops (FPU) shall have the responsibility to oversee in-mission training and assessment of the FPUs. He or she shall ensure that such training is appropriately coordinated with the annual police training directive issued by the HOPC and the overall mission training plan developed by the Integrated Mission Training Centre (IMTC).

D.4.4 Performance assessment

96. The FPU Coordination Office staff should conduct monthly operational inspections of FPUs, including assessments of weapons, ammunition, crowd and riot control and other specialized equipment, as well as the operational skills of FPU personnel.

97. All operational FPU members should be tested on their weapons handling and shooting skills once every six months. This may be done in sub-units at intervals throughout the tour of duty. The FPU shall be tested on its POM and/or any other specialized capacity that the unit is expected to be capable of (SWAT, canine, etc.) one month after deployment and then at four-month intervals thereafter.

98. The operational and logistical ability to perform mission-mandated tasks and the level of their performance by a particular FPU are subject to continuous assessment conducted by the FPU Coordination Office or by UNHQ, if necessary. Any observations regarding underperformance or non-compliance with UN standards should be immediately communicated to PD for further review and action, depending on the nature of observations reported.

D.5 Weapons and equipment

D.5.1 Types of equipment

99. The specific equipment needs for a given mission environment, including technical specifications and numbers for firearms, shields, helmets, batons, etc., as well as a fixed rate of supply and re-supply of ammunition for in-mission training, shall be assessed on the basis of the strategic planning process in accordance with the operational needs and terrain conditions and included in the SUR. An MOU between a PCC and the UN shall be finalized prior to deployment, whenever possible, and shall state the number of personnel as well as the required major equipment and self-sustainment capacity that the FPU needs in order to fulfil envisaged tasks.

100. As this policy calls for handover to the military component when the threat level increases beyond police capacity, as a matter of principle, heavy weapons systems and equipment typical of military operations should not be among the tools of an FPU. Inappropriate equipment shall be identified prior to deployment and, if deployed, rendered beyond use and repatriated at the earliest convenience.

101. Modern peacekeeping requires deployment of units that are mobile, agile and responsive to fast-breaking operational needs. Certain FPUs can be requested to deploy as highly mobile units, capable of forward, expeditionary deployments into areas with little or no modern infrastructure for extended periods. Such units will be requested to deploy with equipment that enables rapid deployment and redeployment within a mission area with minimal administrative delay, both tactically and operationally.

D.5.2 Costs, reimbursements and premiums

102. Given that FPUs are deployed under an MOU within the Contingent-Owned Equipment (COE) framework, as a principle most of their equipment shall be deployed by the PCC. As such, major and minor equipment as well as consumables (as defined by the COE Manual) provided by the PCC under the MOU are and shall remain the property and responsibility of the PCC. This responsibility includes maintenance and resupply, for which dry lease/wet lease arrangements apply.

103. The United Nations shall reimburse the PCC for the personnel and equipment provided under the MOU. During the period of assignment to the mission, the PCC is responsible for the payment of any emoluments, allowances and benefits owed to its personnel under national arrangements.

104. The UN General Assembly in its Resolution 67/261 authorized the Secretary-General to award exceptional premium payments to individual units that are operating without restrictions and caveats imposed by troop- and police-contributing countries and that have performed well despite exceptional and sustained levels of risk. This has been referred to as a “risk premium”.

105. The Secretary-General has also authorized the payment of premiums for the provision of a limited number of key enabling capabilities that are in high demand and short supply, among which the FPUs may be considered. The purpose of the premiums is to enhance the early provision of enablers at the outset of a mission to develop early capabilities and allow for the quicker deployment of other components. It can also be used to expedite the provision of essential capabilities that are required for the continued effective functioning of the mission that are often in short supply.

D.5.3 Verification and inspection of contingent-owned equipment

106. The main purpose of verification and control procedures is to verify that the terms and conditions of the MOU have been met and that necessary corrective measures are identified when required for suitable action by the mission or PCC. This is the responsibility of the United Nations, in coordination with the contingent or other delegated authority designated by the FPU contributing country. The costs of verification and inspection are to be borne by the mission. The COE Manual provides all details on the COE verification and reporting process.

107. The United Nations is authorized to verify the status, condition and quantity of the equipment and services provided, in accordance with the COE Manual. The FPU

contributing country shall designate a person, normally the Logistics Officer in the unit, who is the responsible point of contact for verification and control matters. The results of the verification process are to be used as a basis for consultative discussion at the lowest possible level in order to decide corrective action, including adjustment of the agreed eligibility for reimbursement or renegotiation of the scope of the FPU contribution.

108. Types of mandatory COE inspections in the verification and control process include:

- Initial inspection immediately upon arrival;
- Operational readiness inspection, at least every quarter and any time the mission believes the equipment or services do not meet the standards; and
- Repatriation inspection.

109. In addition, a mission may introduce other inspections and reporting, typically in the form of periodic inspections and spot checks and implementation of a standard contingent self-reporting scheme. In accordance with the COE Manual, it is mandatory in peacekeeping missions to establish a COE/MOU Management Review Board with the participation of the mission's senior management, in particular the HOMC, HOPC and Director/Chief Management Section (D/CMS) to identify operational and logistics shortfalls and necessary remedial action.

110. Specific logistics arrangements, such as initial provisioning, rations, petrol, oil and lubricants (POL), etc., will be described in the mission-specific SUR.

111. Minimum standards for living conditions have to be applied for rotations of 12 months or more as per the COE Manual. Equipment, skills associated with the equipment and minimum standards for living conditions should fulfil requirements that are amenable to female officers' participation in FPUs.

112. COE should correspond to the operational needs and terrain conditions. It is the PCC's responsibility to replenish supplies, including expired ammunition, defective vehicles and communications equipment, in a timely manner. PCCs are required to provide enough logistic personnel and qualified operators according to the number and type of the COE deployed.

E. TERMS AND DEFINITIONS

Command:	The UN concept of command corresponds with the notion of Operational Command and denotes the authority to direct, coordinate and control police personnel. Command has a legal status and denotes functional and knowledgeable exercise of police authority to attain police objectives or goals.
Operational Control:	The authority to perform those functions of command over subordinate police forces involving organizing and employing commands and forces. Operational control includes assigning tasks, designating objectives and giving authoritative direction to all individual personnel, units and sub-units within the police component necessary to accomplish the mission. This may be delegated to the appropriate subordinate level.
Police component:	All UNPOL officers in a given mission, i.e., Formed Police Units, Specialized Police Teams and Individual Police Officers.

Public order management: Includes preventive activities, such as high-visibility patrolling and popular confidence-building, as well as crowd and riot control. In accordance with mandated tasks, this may include the protection of public and private property.

Tactical Command: The authority delegated to a commander to assign tasks to forces under his or her command for the accomplishment of the mission assigned by a higher authority.

Tactical Control: The command authority over assigned or attached forces or commands or forces made available for tasking. Tactical control is limited to the detailed, and usually, local direction and control of movements necessary to accomplish the assigned tasks. It may be delegated to and exercised at the level of subordinate sector and/or unit commander.

United Nations Operational Authority: The authority transferred by Member States to the United Nations to use the operational capabilities of their national Formed Police Units to undertake mandated missions and tasks. This includes the full authority to issue operational directives within the limits of (1) a specific mandate of the Security Council; (2) an agreed period of time; and (3) a specific geographic area. This does not include responsibility for some administrative matters, such as pay, allowances and promotions.

Wet and dry lease: Under a wet lease arrangement, the contributing country maintains its own equipment. Under a dry lease arrangement, the United Nations or a third party maintains the equipment.

F. REFERENCES

Normative or Superior References

- Report of the High-Level Independent Panel on United Nations Peace Operations, 16 June 2015
- DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions, Ref. 2014.01, 1 February 2014
- Security Council Resolutions 2167 (2014) and 2185 (2014)
- Securing states and societies: strengthening the United Nations comprehensive support to security sector reform, Report of the Secretary-General, A/67/970-S/2013/480
- Report of the Secretary-General on United Nations police, A/66/615, 15 December 2011
- Secretary-General's bulletin on the Organization of the Department of Peacekeeping Operations, ST/SGB/2010/1, 5 February 2010
- DPKO-DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations, 15 February 2008
- United Nations Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121, 18 December 1990

- Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169, 17 December 1979)
- Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual)

Related Policies

- DPKO-DFS Interim Standard Operating Procedures on Detention in United Nations Peace Operations, 25 January 2010, *currently under revision*
- DPKO-DFS Guidelines on Improvised Explosive Device (IED) Threat Mitigation in Mission Settings, Ref. 2016.14
- DPKO-DFS Guidelines on Police Command in Peacekeeping Operations and Special Political Missions, Ref. 2015.14, 1 January 2016
- DPKO-DFS Guidelines on Police Operations Command in Peacekeeping Operations and Special Political Missions, Ref. 2015.15, 1 January 2016
- DPKO-DFS Guidelines on Police Capacity-Building and Development, Ref. 2015.08, 1 April 2015
- DPKO-DFS Guidelines on Joint Mission Analysis Centres (JMAC), Ref. 2015.04, 01 March 2015
- DPKO-DFS Policy on Joint Mission Analysis Centres (JMAC), Ref. 2015.03, 01 March 2015
- DPKO/PD/2006/00122 Directive for Heads of Police Components of Peacekeeping Operations, 21 November 2006
- DPKO/PD/2006/00015 Guidelines for Formed Police Units on Assignment with Peace Operations, Ref. DPKO/PD/2006/00015, 08 May 2006
- DPKO-DFS Standard Operating Procedure on Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, Ref. 2012.11, 1 September 2012
- DPKO-DFS Guidelines for Integrating Gender Perspectives into the Work of United Nations Police in UN Peacekeeping Missions, June 2008
- Directives on Disciplinary Matters Involving Civilian Police Officers and Military Observers, DPKO/CPD/DDCPO/2003/001, DPKO/MD/03/00994
- IMPP Guidelines: Role of the Headquarters – Integrated Planning for UN Field Presences (May 2009)
- Guidelines UN Strategic Assessment (May 2009)

G. MONITORING AND COMPLIANCE

All missions with FPUs shall comply with this policy. The Police Adviser in the Department of Peacekeeping Operations shall monitor compliance with this document.

H. CONTACT

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

I. HISTORY

This policy supersedes the United Nations DPKO-DFS Policy (Revised) on Formed Police Units in United Nations Peacekeeping Operations, 1 March 2010 (Ref. 2009.32) and all previous DPKO-DFS policies on FPUs.

APPROVAL SIGNATURE:

DATE OF APPROVAL: 03/01/2017

APPROVAL SIGNATURE:

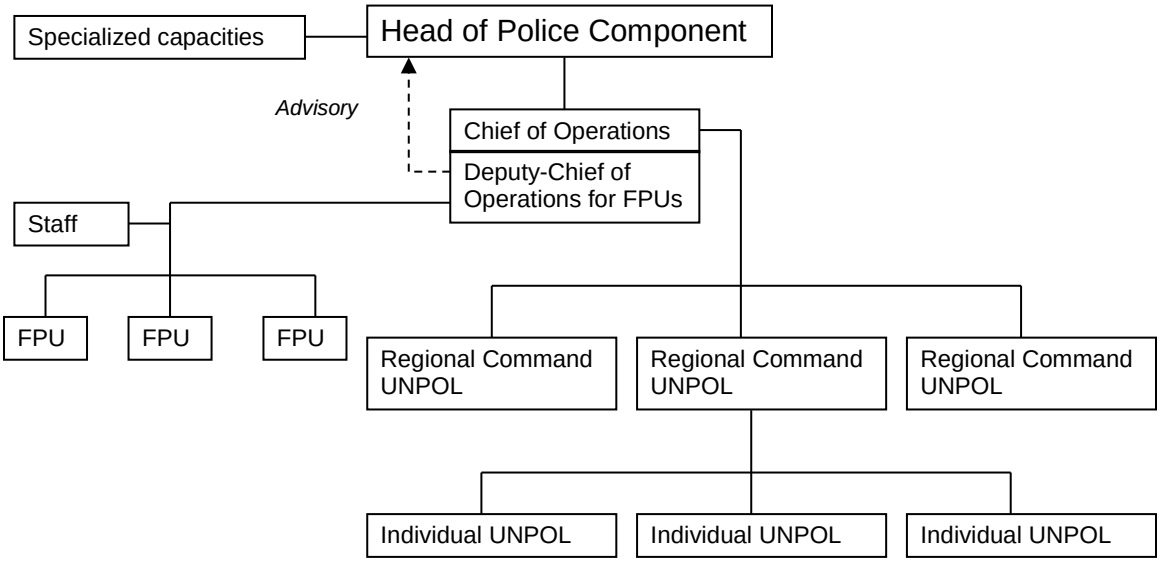
DATE OF APPROVAL: JAN 05 2017

ANNEX 1: Examples of Organizational Charts

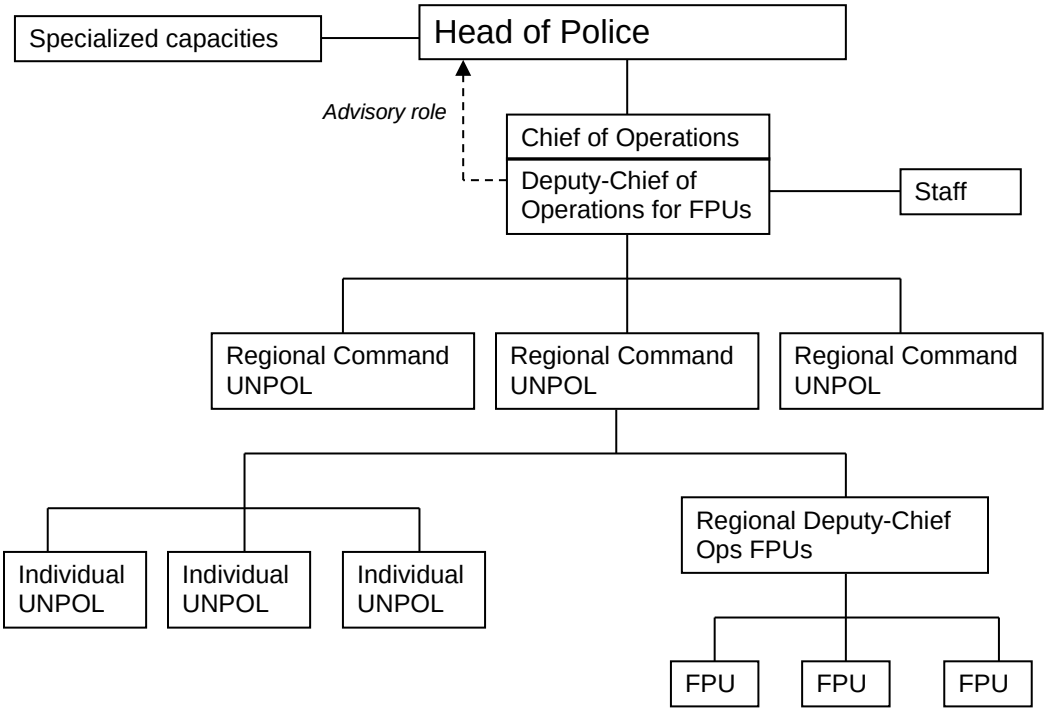
Command and Control Models

Please note that these models are simplified examples of mission structures that are intended to illustrate the command relationship for FPUs rather than provide a complete representation of all UNPOL offices, units and positions. Structures may therefore vary in practice.

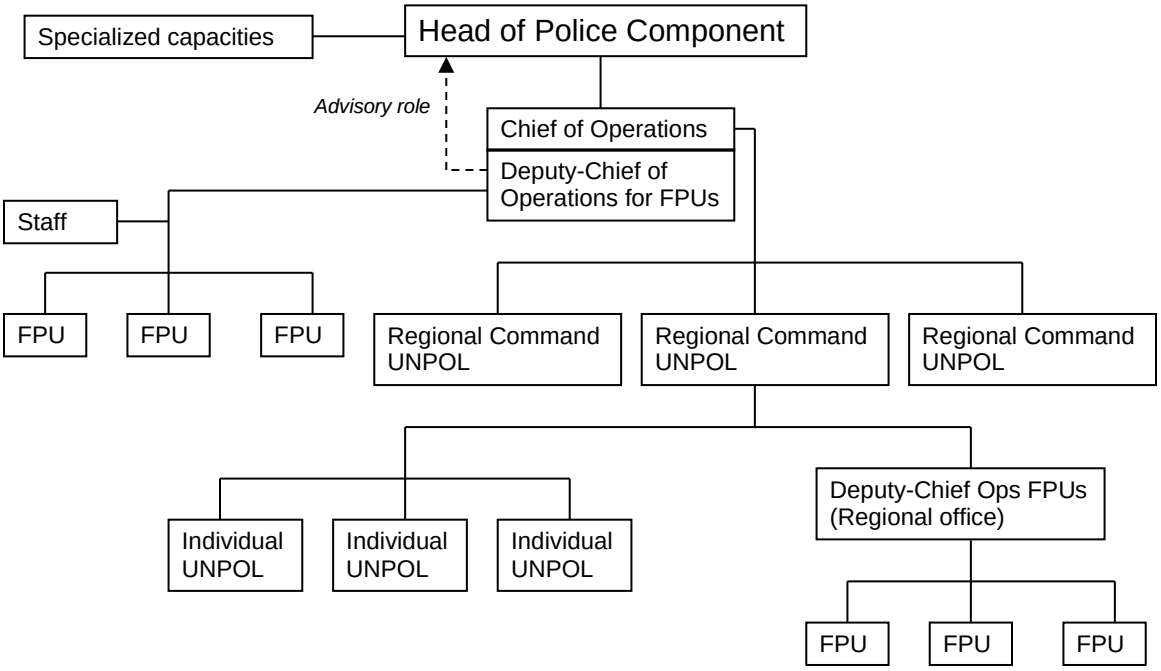
Centralized Model



Regional Model



Mixed Model with Regional Deployment with Operational Reserve at Headquarters



ANNEX 2:
Job description for Deputy-Chief of Operations for Formed Police Units (and his or her support office)

Overall responsibilities are to:

- Work under the direction of the HOPC.
- Act as an adviser to the HOPC on all issues related to FPUs, including tasks, operations and administrative matters.
- Manage the Deputy-Chief Ops (FPU) Coordination Office.
- Fulfil the following requirements.

Operational responsibilities/functions are to:

- Monitor the arrival and departure to/from the mission area of all the FPUs.
- Develop a strategy and guidelines in order to facilitate the daily tasks of the FPUs, integrating gender considerations.
- Plan and coordinate all operational activities of the FPUs according to the mission mandate and the tasks outlined in mission-specific implementation plans (patrols, public order management, escorts, other special missions).
- Provide assistance to FPU commanders to clarify appropriate FPU tasks.
- Provide reports on the activities of FPUs in the mission area as directed by the HOPC. Collect data on FPU activities, including gender-related issues.
- Evaluate and identify the level of competence of the units in public order management tactics and techniques, as well as monitor their overall performance.
- Designate as an observer one member of the FPU Coordination Office to attend the scene of any demonstration in which an FPU is involved.
- Attend as operational commander and adviser, the scene of any demonstration in which more than one FPU is involved, unless authority has been otherwise delegated.
- Collect and submit to the concerned offices all the information received from the FPUs.

Administrative tasks, disciplinary matters, inspection and training are to:

- Inspect FPUs upon arrival and regularly inspect FPU camps in order to assess living conditions, the storage, condition and re-supply of anti-riot equipment, as well as the condition of other equipment and ensure that these are suitable to female members of the FPU.
- Propose improvements to the organization and functionality of the FPUs.
- Organize training on public order management, as well as on all other FPU tasks, in order to develop the operational capabilities of the FPU and ensure equal access to training opportunities for women as well as specific training if so needed.
- Schedule joint exercises involving at least two FPUs.
- Report all decisions and activities that contribute to increasing FPU efficiency and capabilities.
- Coordinate the action of the police officers appointed in the support office of the Deputy-Chief Ops (FPU) and supervise their activity.
- Inform and report to the HOPC on all issues, activities or affairs relating to the FPUs.
- Follow up any disciplinary investigations related to FPU personnel.

- Participate in any meeting or working group related to FPU activities or engagements.
- Execute any specific task requested by the HOPC.

With regard to cooperation and coordination with other United Nations partners, responsibilities are to:

- Coordinate all activities with the regional or district commanders or equivalent.
- Organize joint exercises, regular training and simulations with the military components in order to deal with any joint operation.
- Liaise with the international organizations involved in the mission mandate with regard to FPU matters, in consultation with the HOPC and the HOM.

With respect to conditions of recruitment, a successful candidate will:

- Have at least 10 years of police experience
- Have at least 5 years of relevant experience in public order management
- Hold the rank of no less than Major or equivalent
- Have experience as Commander or Deputy Commander of an FPU (desirable)
- Possess good interpersonal skills
- Possess proven experience of conducting FPU-type operations in line with international policing and human rights standards
- Always behave in a principled and accountable manner in accordance with international human rights standards
- Have experience in training and developing training projects (desirable)
- Have international experience (desirable)
- Have complied with the requirements of the United Nations Screening Policy.