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Authority, Command and Control in United Nations Peacekeeping Operations

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AUTHORITY, COMMAND AND CONTROL IN UNITED NATIONS PEACEKEEPING OPERATIONS

Contents:

A. Purpose
B. Scope
C. Rationale
D. Terms and Definitions
E. Policy
F. Unity of Command and Integration of Effort at Headquarters and the Field
G. References
H. Monitoring and Compliance
J. Applicability of the Policy to Hybrid Missions
K. Dates
L. Contact
M. History

A. PURPOSE

1 This policy clarifies the authority and command and control arrangements for the uniformed components of United Nations peacekeeping operations. This document also provides important information regarding the relevant civilian and other managerial structures and their relationship to the uniformed components so as to enable more effective integration of the mission effort in multidimensional peacekeeping operations.

B. SCOPE

2 This policy applies to all United Nations peacekeeping operations authorised by the United Nations Security Council, operating under the direction of the United Nations Secretary-General, under the leadership of the Department of Peacekeeping Operations (DPKO) at United Nations Headquarters, and led in the field generally by a civilian Head of Mission (usually a Special Representative of the Secretary-General).

3 The policy is binding on all DPKO and the Department of Field Support (DFS) personnel as also other personnel serving in UN peacekeeping operations. It shall be implemented in the planning and execution of these operations. Other relevant DPKO and DFS policies, guidelines, standard operating procedures and command directives shall be consistent with this policy and will be amended where necessary.

4 This policy defines and describes the strategic, operational and tactical levels of authority, command and control in UN peacekeeping operations[1]. The policy defines the authority of the Head of Mission and the command and control arrangements within the military and police components. The policy also defines the tasking authorities for both military and civilian logistics units within the integrated logistics system of UN peacekeeping operations. Additionally, it provides explanatory guidance on civilian management structures as well as

1 This policy describes the basic command and control relationship between the mission leadership (operational level) and the UN Headquarters (strategic level). More detailed roles and responsibilities for UN Headquarters are explained in ST/SGB/2000/9 dated 15 May 2000 and therefore not included herein.

joint and integrated structures in multidimensional missions. Further details on civilian, integrated and joint structures of a mission are contained in separate issuances listed in Section F below.

5 Finally, the policy defines the national administrative control retained by Member States over their personnel; however, it does not describe these arrangements in detail. Such arrangements are established through Memoranda of Understanding on the contribution of personnel concluded between Contributing Member States and the United Nations. Contributing Member States should be aware of UN authority, command and control arrangements and ensure that personnel are contributed in accordance with those understandings.

C. RATIONALE

6 Clear command and control arrangements support greater cohesiveness amongst all mission elements. This should allow for efficient and effective implementation of mandates and strengthen the mission's preparedness to handle crisis situations. The complexity of authority, command and control within UN multidimensional peacekeeping operations presents significant challenges for mission planners and managers at both UN Headquarters (strategic) and Mission (operational and tactical) levels. To date, guidance on this issue has been fragmented and directed primarily to individual components. Much of the existing guidance has not been updated in many years. This policy guidance on authority, command and control supports the development of a wider set of DPKO issuances that will comprehensively cover the responsibilities of all senior mission leaders. All such DPKO and future DFS policy and guidance materials should support the successful integration of effort of mission components and support unity of effort with other UN partners to achieve mission mandates, as effectively and efficiently as possible.

D. TERMS AND DEFINITIONS

7 **United Nations Operational Authority**. The authority transferred by the member states to the United Nations to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority over such forces and personnel is vested in the Secretary-General, under the authority of the Security Council. "United Nations Operational Authority' involves 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, with the stipulation that an earlier withdrawal of a contingent would require the contributing country to provide adequate prior notification; and (3) a specific geographic area (the mission area as a whole). The 'United Nations Operational Authority' does not include any responsibility for certain personnel matters of individual members of military contingents and Formed Police Units, such as pay, allowances, and promotions etc. These functions remain a national responsibility. In regard to disciplinary matters, while the discipline of military personnel remains the responsibility of the troop-contributing countries the United Nations may take administrative steps for misconduct, including repatriation of military contingent members and staff officers (reference the revised model Memorandum of Understanding, A/61/19 part III). As regards the Experts on Mission, including United Nations police officers and military observers, the United Nations would take administrative actions and disciplinary measures in accordance with the UN Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers (DPKO/CPD/DCPO/2003/001, DPKO/MD/03/00994 of 2003, issued vide Code Cable 1810 dated 1 July 2003 and amended vide Code Cable 2697 dated 7 October 2005) and the General Assembly resolution on Criminal Accountability (A/62/63).

8 **Command**. The authority vested in a Military leader/ Police Commander for the direction, coordination and control of military and police forces/ personnel. Command has a legal status and denotes functional and knowledgeable exercise of military/ police authority to attain military/ police objectives or goals.

9 **United Nations Operational Control**. The authority granted to a Military Commander in a United Nations Peacekeeping Operation to direct forces**2** assigned so that the Commander may accomplish specific missions or tasks which are usually limited by function, time, or location (or a combination), to deploy units concerned and/or military personnel, and to retain or assign Tactical Command or Control of those units/personnel. Operational Control includes the authority to assign separate tasks to sub units of a contingent, as required by operational necessities, within the mission area of responsibility, in consultation with the Contingent Commander and as approved by the United Nations Headquarters. For operational control of Police components refer to para 54 and 55 of this policy.

10 **United Nations Tactical Command**. The authority delegated to a military or police commander in a United Nations Peacekeeping operation to assign tasks to forces under their command for the accomplishment of the mission assigned by higher authority.

11 **United Nations Tactical Control**. The detailed and local direction and control of movement, or manoeuvre, necessary to accomplish missions or tasks assigned. As required by operational necessities the Head of Military Component (HOMC) and Head of Police Component (HOPC) may delegate the Tactical Control of assigned military forces/ police personnel to the subordinate sector and/or unit commanders.

12 **Administrative Control**. The authority over subordinate or other organizations within national contingents for administrative matters such as personnel management, supply, services and other non-operational missions of the subordinate or other organizations. Administrative Control is a national responsibility given to the National Contingent Commander (NCC) in peacekeeping operations.

13 **Tasking Authority.** The authority vested in specified senior appointments (Head of Military Component (HOMC), Head of Police Component (HOPC) or Director of Mission Support /Chief of Mission Support (DMS/CMS) of UN peacekeeping operations to assign tasks to enabling units, and exercised with reference to the overall authority of the HOM as given in paragraph 24-25 of this policy. Tasking authority includes the authority to deploy, redeploy and employ all or part of an enabling unit to achieve the mission's mandate. Enabling units comprise aviation, engineering, logistics, medical, signals, transport and Explosive Ordinance Disposal (EOD) units. Tasking authority over military or police personnel/ units, when exercised by civilians is applicable for their routine, day to day employment and does not include tactical control of military/police resources exercised purely in pursuance of military or police operations.

14 **Technical reporting.** A secondary reporting line for matters not relating to the command and control of operations or to national administrative control. It is an informational and technical advisory communication link that should in no case circumvent the primary reporting line and command/supervisory relationships, through which formal direction and tasking is issued. The HOM may direct the mission components to provide copies of specific or all technical reports (other than documents that warrant medical confidentiality), simultaneously as they are sent to DPKO or DFS, or at a later stage.

15 **Transfer of Authority.** When national units/ contingents and military observers come under the control of a United Nations designated commander, the transfer of "operational authority' must be completed immediately. Generally, this transfer action occurs when uniformed personnel and units arrive in a mission area. If required, the transfer of authority may be completed at a unit's home station (before deployment in the area of operations) or at an intermediate staging

2 For operational control of Police Components refer to para 54 and 55 in Section E 3.2 of this policy.

base, as dictated by operational necessities. However, the exact timing of the transfer of authority will be decided at the time of negotiations between United Nations and national authorities. Contributing Member States negotiate with UN Headquarters (DPKO-DFS) the specific date and location that the UN will assume 'UN Operational Authority' over their uniformed personnel and units. Member States are then required to confirm, in an official communication to UNHQ (DPKO), when and where the transfer of 'UN Operational Authority' over their uniformed personnel/ units will occur, noting the composition and strength of groups or formed units. When UN 'Operational Authority' over uniformed units and personnel is withdrawn from the UN, the contributing Member State is again required to officially inform UN Headquarters (DPKO). The Operational Authority over Military and Police 'Experts on Mission', which includes Military Observers and Individual police officers/advisers, is considered to be automatically transferred to the UN when a contributed 'Expert on Mission' reports to the designated United Nations authority for his/ her duties in the operational area of responsibility. The operational authority is reverted back to the respective national authorities on completion of assignment with the United Nations, or at the time of repatriation.

E. POLICY

E.1 Levels of Authority, Command and Control in UN Peacekeeping Operations

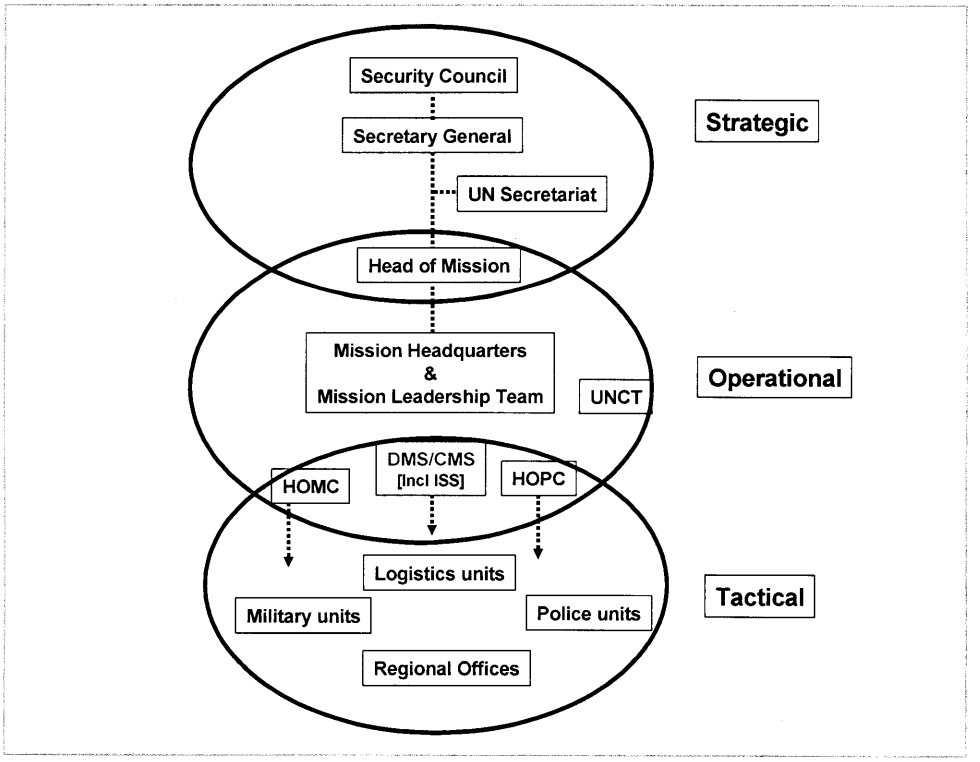
16 This policy directive defines and describes UN peacekeeping Authority, Command and Control at three separate but overlapping levels:3

16.1 Strategic level;

16.2 Operational level;

16.3 Tactical level.

Figure 1. Levels of Authority, Command and Control in UN Peacekeeping Operations



3 See Figure 1, which provides examples of the types of actors at each level.

E.1.1 Strategic Level

17 The management of a peacekeeping operation at United Nations Headquarters level in New York is considered to be the strategic level of authority, command and control.

18 The Security Council provides the legal authority, high-level strategic direction and political guidance for all UN peacekeeping operations, and it vests the operational authority for directing these operations in the Secretary-General of the United Nations.**4**

19 The Under Secretary-General for Peacekeeping Operations (USG DPKO) has been delegated responsibility from the Secretary-General for the administration of, and provision of executive direction for, all UN peacekeeping operations. Specifically, the USG DPKO:

19.1 directs and controls UN peacekeeping operations;

19.2 formulates policies and develops operational guidelines based on Security Council resolutions (mission mandates);

19.3 prepares reports of the Secretary-General to the Security Council on each peacekeeping operation with appropriate observations and recommendations;

19.4 advises the Secretary-General on all matters relating to the planning, establishment and conduct of UN peacekeeping operations;

19.5 acts as a focal point between the Secretariat and Member States seeking information on all matters related to United Nations peacekeeping missions;

19.6 is responsible and accountable to the Secretary-General for ensuring that the requirements of the United Nations security management system are met within DPKO-led field missions.

20 Other UN Responsibilities. In addition to the above-mentioned responsibilities, it is important to be aware of additional UN System responsibilities for financial authority and for the safety and security of UN staff, which lie outside of the authority of USG DPKO but which affect UN peacekeeping operations:

20.1 The Under Secretary-General for Management (USG DM) has been delegated financial authority and responsibility from the Secretary-General for all financial matters relating to UN peacekeeping operations.

20.2 The Under Secretary-General for Safety and Security (USG DSS) is directly accountable and responsible to the Secretary-General for the executive direction and control of the United Nations security management system and for the overall safety and security of United Nations civilian personnel and their recognized dependents at both headquarters locations and in the field.**5**.

20.3 The Under Secretary General for Field Support (USG DFS) is responsible for all activities of the Department of Field support. On behalf of the Secretary General, the Under Secretary General directs all support for the peace operations by providing necessary strategic direction to guide the work programme of DFS. Under direction of the USG DFS, the Department of Field Support is responsible for delivering dedicated support to the field operations, including on personnel, finance, procurement, logistical, communications, information technology and other administrative and general management issues.

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4 In rare cases, the General Assembly has also acted to authorise a United Nations peacekeeping mission.

5 The mandate of DSS is limited to the protection of United Nations staff, facilities and their recognised dependents and has no formal authority or responsibility in relation to military members of national contingents and the experts on mission.

21 Contributing Member States that provide military and police personnel to United Nations peacekeeping operations retain full and exclusive strategic level command and control of their personnel and equipment. Contributing Member States may assign these personnel and assets to serve under the authority of the Secretary-General of the United Nations and under the operational control of the Head of Military Component (HOMC) of a United Nations peacekeeping operation for specified periods and purposes as agreed in a Memorandum of Understanding with the United Nations Headquarters. Member States may withdraw their military and police personnel and the operational control of those personnel from the United Nations through formal communication with United Nations Headquarters.

E.1.2 Operational Level

22 The field-based management of a peacekeeping operation at the Mission Headquarters is considered to be the operational level. The following senior officials**6** hold operational level authority, command and control responsibilities at the Mission Headquarters level:

22.1 Head of Mission (HOM);

22.2 Head of Military Component (HOMC);

22.3 Head of Police Component (HOPC);

22.4 Deputy Special Representative(s) of the Secretary-General (DSRSG); and

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

23 In addition, there are several joint, integration and coordination structures that support mission-wide coherence at the operational level. These are not command and control structures but they support integration of effort across the peacekeeping operation under the authority of the Head of Mission (see sections E.6 and E.7 below).

Head of Mission**7**

24 The Head of Mission (HOM) of a multidimensional peacekeeping operation is generally a Special Representative of the Secretary-General (SRSG) **8** . The HOM reports to the Secretary-General through the USG DPKO.

25 The HOM is the senior UN Representative and has overall authority over the activities of the United Nations in the mission area. The HOM represents the Secretary-General, leads UN political engagement and speaks on behalf of the United Nations within the mission area. The HOM leads and directs the heads of all mission components and ensures unity of effort and coherence among all UN entities in the mission area, in accordance with the UN Integrated Strategic Framework for the mission**9**.

26 The HOM provides political guidance for mandate implementation and sets mission-wide operational direction including decisions on resource allocation in case of competing priorities. The HOM delegates the operational and technical aspects of mandate implementation to the heads of all components of the mission. The HOM provides direction to those components through the component heads.

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6 In line with the scope of this policy, civilian component heads are defined here for purposes of clarity. The details concerning civilian managerial arrangements and integration of the mission will be covered in more detail in other DPKO issuances, and these shall be consistent with this policy.

7 The roles and responsibilities of the SRSG/Head of Mission are more comprehensively covered in the SRSG Standard Directive issued by DPKO, listed in Section G of this document.

8 The Secretary-General may appoint a Chief Military Observer or Force Commander as HOM.

9 Secretary-General's Note of Guidance on Integrated Missions (17 January 2006) refers to the authorities of the SRSG vis-à-vis the UN Country Team.

27 The Head of Mission shall designate a Deputy Head of Mission who will assist the HOM in exercise of his/her managerial functions**10**. The Deputy Head of Mission shall support the SRSG through the performance of any specifically delegated HOM responsibilities. During absence of the HOM, the Deputy HOM (generally a DSRSG or a Deputy Force Commander where the Force Commander is HOM) shall exercise the same authority as the HOM in his/her absence. In the event that the HOM and Deputy HOM are both absent from the mission area, the HOM shall nominate an Officer-in-Charge for the mission.

28 In each country or designated area where the United Nations is present, the most senior United Nations official is normally appointed as the Designated Official for security, accountable to the Secretary-General through the Under-Secretary-General for Safety and Security for the security of personnel employed by the organizations of the United Nations system and their recognized dependents throughout the country or designated area. If the HOM is appointed as the Designated Official **11** , the HOM will constitute a Security Management Team for consultation and decisions regarding security issues under the UN security management system. Whether or not appointed as Designated Official, the HOM at all times retains the responsibility for ensuring that arrangements are in place to ensure that the United Nations security management system is established within his/her DPKO-led mission**12**.

Head of Military Component **13**

29 The Head of Military Component (HOMC) reports to the HOM. The HOMC exercises operational control over all military personnel, including Military Observers, in the mission.

30 The HOMC establishes the military operational chain of command in the field as described in section E.2 below. The HOMC may establish subordinate Sector Commands, as appropriate. In doing so, the HOMC places military units under the Tactical Control of military commanders in the operational chain of command.

31 The HOMC maintains a technical reporting and communication link with the DPKO Military Adviser in UN Headquarters. This technical reporting link must not circumvent or substitute the command chain between the USG DPKO and the HOM, nor should it interfere with decisions taken by the HOM in accordance with this policy directive.

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10 The role of the Deputy Head of Mission has in some missions been designated in advance by DPKO as a Principal Deputy SRSG (PDSRSG) in which case that PDSRSG shall act as Deputy HOM unless the HOM and DPKO agree otherwise.

11 The HOM is supported in exercising the designated official function by a Chief Security Adviser/Chief Security Officer (CSA/CSO) who is responsible to the HOM for development of routine and contingency plans for the security of UN staff, and may be supported by regionally based Field Security Officers. The CSA/CSO reports directly to the HOM and maintains a technical line of communication with the USG DSS in UNHQ.

12 As the United Nations security management system does not cover uniformed personnel, the HOM is responsible and reports to the USG DPKO for the security of United Nations military and police personnel serving in his/her mission.

13. In multidimensional peacekeeping operations the HOMC is generally designated as the Force Commander. If the military component comprises Military Observers only, a Chief Military Observer (CMO) or Chief of Staff (COS) will be appointed as the HOMC. The CMO reports directly to the HOM and exercises Operational Control over all Military Observers. The operational chain of command for such situations is; the CMO, Sector Commanders/ Senior Military Observers, Military Observer Team Leaders and Military Observers. In some missions, the HOMC, CMO or COS may act as the Head of Mission; this is currently the case in UNMOGIP, UNIFIL, UNTSO and UNDOF. The roles and responsibilities of the HOMC (Force Commander, Chief Military Observer and Military Chief of Staff) are more comprehensively covered under directives for these individual positions, issued by DPKO.

Head of Police Component **14**

32 The Head of Police Component (HOPC) reports to the Head of Mission, exercises operational control and provides direction to all members of the police component of the mission. This includes all UN Police Officers (including all members of Formed Police Units) and relevant civilian staff serving in the Police Component. The HOPC, in consultation with DPKO, shall establish the police chain of command in the mission. The HOPC shall also establish appropriate succession arrangements within the police component to ensure effective command and control in his/her absence.

33 The HOPC maintains a technical reporting and communication link with the DPKO Police Adviser at UN Headquarters. This technical reporting link must not circumvent or substitute the command chain between the USG DPKO and the HOM, nor should it interfere with decisions taken by the HOM in accordance with this policy directive.

Deputy(ies) Special Representative of the Secretary-General

34 Multidimensional peacekeeping operations generally have at least one Deputy SRSG to support the Head of Mission in executing the substantive civilian functions of the mission. Deputy SRSGs report to the HOM and they exercise managerial authority over those mission components that have been assigned to them. When a DSRSG is designated as the Deputy HOM, he/she shall support the SRSG through the performance of any specifically delegated HOM responsibilities and shall officiate as HOM in the absence of the SRSG.

35 In integrated missions, the Resident Coordinator (and Humanitarian Coordinator, as appropriate) of the UN Country Team may be appointed as Deputy SRSG to co-ordinate the mission's activities with UN agencies, funds, programmes and other development and humanitarian entities operating in the mission area. The DSRSG/RC/HC maintains technical reporting lines to the Chair of the UN Development Group and, for humanitarian activities, to the Emergency Relief Coordinator (USG OCHA). This technical reporting link must not circumvent formal decisions or tasking that must be communicated formally between the USG DPKO and the HOM**15**.

Director of Mission Support/ Chief of Mission Support**16**:

36 The Director of Mission Support/ Chief of Mission Support (DMS/CMS) reports to the HOM and is accountable to the HOM for the efficient and effective provision of administrative and logistical support to all mission components. DMS/CMS advises the HOM on the rules and regulations relating to the commitment of UN financial resources to ensure the provision of efficient and effective administrative and logistical support to all mission components. The DMS/CMS has sole UN authority in the field to commit UN financial resources for any purpose, including any contractual arrangements for the use of local resources**17**. DMS/CMS will exercise his financial authority in consultation with the HOM. The DMS/CMS is responsible for the strict observance of, and compliance with, UN technical and administrative regulations related to the administration of the mission and logistics management.

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14 The roles and responsibilities of the HOPC are more comprehensively covered in the Police Commissioners/Police Advisers Directive issued by DPKO.

15 See Footnote 9

16 The civilian head of the support component within a peacekeeping mission (also known as the 'Administration' component) is generally designated as Directors of Mission Support (DMS) in a large and/or complex mission Chief of Mission Support (CMS) in medium or small size mission.

17 This financial authority has been delegated from the Secretary-General to the USG for Management and has been further delegated through the Controller in the Department of Management to DMS and CMS in field missions.

37 The DMS/CMS maintains a technical reporting and communication link with the Under Secretary-General, Department of Field Support at UN HQ. This technical reporting link must not circumvent or substitute the formal decisions or tasking that must be formally communicated between the USG DPKO and the HOM.

E.1.3 Tactical Level

38 The management of military, police and civilian operations below the level of Mission Headquarters as well as the supervision of individual personnel is considered to be at the tactical level and is exercised at various levels by subordinate commanders of respective components and designated civilian heads at levels below the Mission Headquarters.

39 For military components, the tactical level includes all subordinate command levels established within the military command frameworks (for example Brigade, Regional, Sector Commanders**18**) as described in section E.2 below. Tactical level commanders report directly to their respective operational commanders. This level of command and control generally involves the physical conduct of tasks in order to implement or safeguard the mission's mandate.

40 The military and police components shall coordinate police/military/joint operations at the tactical level operations with the civilian Head of Office, or another designated regional coordinator for that region/sector, to ensure:

40.1 Provision of adequate security for all elements;

40.2 Prevention of duplication of effort;

40.3 Coherence of effort in the achievement of the mission plan at the local level;

40.4 Joint handling of local crisis situations, including evacuation of UN civilians when necessitated by the security situation;

41 For civilian components, the tactical level includes routine management, direction and tasking of subordinate civilian staff by the civilian head of an office at either a mission headquarters office or to a regional/field/sector office. It also includes the management of the mission's regional/sector/field offices by the civilian heads of office of those structures. At the tactical level, the Civilian Head of Office represents the HOM in the region/district/sector. The Head of Office usually reports directly to Mission HQ, and is responsible, inter alia, for coordinating the tactical level implementation of the mission mandate with each component's regional representative.

E.2 Military Component Command and Control

E.2.1 Military Operational Chain of Command

42 The HOMC shall establish the military operational chain of command, as follows: HOMC; Division; Sector (Brigade); Battalion Commanders; Company Commanders and sub-units. In some missions, the HOMC may establish subordinate Sector Commands. Where such defined military structure does not exist, the HOMC will establish the necessary chain of command as appropriate to the military deployment in the mission. This military operational chain of command shall be issued as a 'Field Command Framework'. The HOMC shall ensure that staff officers are not placed in command of formations or units.

18 Where a Division Headquarters is established in the operational chain of command, this headquarters shall be considered to be at the operational level of command and control although reporting to the HOMC at Mission Headquarters.

43 The Field Command Framework shall include clear chain of command succession arrangements at: Mission/Force Headquarters; Divisional Headquarters; Sector/Brigade Headquarters and even Battalion Headquarters level to ensure that at any given time during the absence of a senior commander, there exists a pre-determined chain of command (i.e. Officiating FC/ Officiating COS/ Officiating CMO) that is empowered to exercise the same authority as the incumbent when absent. In rare cases when the Divisional Commander (and Deputy Divisional Commander) or Brigade Commander (and Deputy Brigade Commander) are absent from the mission area on duty or on leave, the nominated Brigade Commander or Battalion Commander shall perform the duties and functions of Officiating Divisional Commander or Officiating Brigade Commander.

E.2.2 Operational Control of Military Personnel

44 The HOMC is accountable and responsible to the HOM for the supervision and technical management of the military component with particular responsibility to ensure effective and efficient mandate implementation and strict compliance with UN policies and procedures. **Decisions on major operations or redeployment of troops should result from consultations between the HOM and the HOMC and must have HOM's concurrence.**

45 The HOMC exercises 'UN operational control' over personnel and contingents assigned by Member States to the peacekeeping operation. 'UN operational control' allows the HOMC to assign separate tasks to units and sub units within the military component, as required, within the mission area of responsibility, in consultation (not meaning negotiation) with the senior national officer of the affected unit/sub-unit, who is responsible for administrative control of the unit/sub-unit. The HOMC may delegate UN operational control to appropriate subordinate levels defined within the command framework.

46 The HOMC may further assign military personnel and units to a specific subordinate commander (for example, at Division, Brigade or Sector levels). These subordinate officers will exercise UN 'operational control' or 'UN tactical control' over assigned personnel and units, as appropriate and as designated by the HOMC**19**.

47 Subject to provisions in paragraph 62 below, Military staff assigned by the HOMC to integrated and joint office structures shall be responsible to, and report to, the heads of offices of those structures irrespective of whether these are military personnel or otherwise.

48 The HOM, through the HOMC, is responsible for ensuring good conduct and discipline of contributed military personnel within a mission area in accordance with the UN Code of Conduct and DPKO-DFS guidance on conduct and discipline. Member States retain full responsibility for personnel administration matters (pay, promotion and disciplinary matters) of their military personnel (see section E.2.3 on administrative control below).

E.2.3 Administrative Control of Military Personnel

49 The Contributing Member State retains 'administrative control' over non operational administrative issues over deployed military personnel and units. Administrative control is exercised by a senior national officer of a contributed military contingent within a mission area. This authority is limited to administrative matters such as personnel management, supply and services and must not adversely influence the management and conduct of UN operations within a mission area.

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19 In the event the HOMC decides it operationally necessary for a subordinate commander to exercise the higher level of 'UN operational control' instead of 'UN tactical control' over assigned personnel and units, then prior approval must be sought from USG DPKO, through the HOM, accompanied by justification. DPKO staff will ensure affected contributing Member States are fully briefed of the intent and nature of the assignments.

50 Outside the Operational chain of command, described above, the HOMC shall establish a coordination chain with the Member State-designated National Contingent Commanders and Senior National Officers. Contributing Member States generally establish national administrative reporting arrangements with their deployed military contingents. The HOMC shall ensure consultation and liaison in the field with the resident senior national military officer or national contingent commander from each contributing Member State.

51 Military personnel assigned to serve under UN operational control shall not act on national direction or instructions if those instructions may result in actions contrary to UN policies or adversely affect implementation of the mission's mandate. In the event a national contingent commander is unable to resolve an important military employment issue within the mission (through the HOMC and then HOM) then the officer may submit the issue to the contributing Member State for consideration, which may consequently involve national discussions with the USG DPKO, through appropriate DPKO staff. The HOMC, through the HOM, may raise the issue to USG DPKO.

E.3 Police Component Command and Control

E.3.1 Police Operational Chain of Command

52 The HOPC is accountable and responsible to the HOM for the supervision and technical management of the police component with particular responsibility to ensure effective and efficient mandate implementation and strict compliance with UN policies and procedures. **Decisions on major police operations should result from consultations between the HOM and the HOPC and must have HOM's concurrence.**

53 The Police Component of the peacekeeping operation is headed by the Head of the Police Component who is vested with its command and overall direction. The Head of the Police Component may delegate to personnel of the Police Component the authority to act on his/her behalf but remains fully responsible and accountable for actions undertaken under such delegation of authority. The Head of the Police Component is responsible for the management, supervision and discipline of all personnel assigned to the Police Component, including members of the Standing Police Capacity when present in the mission area. The HOPC, in consultation with DPKO, shall establish a police chain of command including a clear succession plan in absence of HOPC to ensure effective command and control.

E.3.2 UN Operational Control of Police Personnel

54 The HOPC exercises operational control over personnel of the police component of the peacekeeping operation. Such control allows the HOPC to assign separate tasks to all individual personnel, units and sub-units within the police component, as required, within the mission area of responsibility. The HOPC may delegate such responsibility to the appropriate subordinate levels.

55 Police officers assigned by the HOPC to serve in integrated and joint offices, or to other offices within the mission, shall be responsible to, and report to, those heads of offices.

E.3.3 Administrative Control of Police Personnel [20]

56 The Contributing Member State retains 'administrative control' over non operational administrative issues over deployed police personnel and formed police units. Administrative control is exercised by a senior national police officer within a mission area. This authority is

20 Administrative control of police personnel shall be implemented in conformity with the DPKO Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers.

limited to administrative matters such as personnel management, supply and services and must not adversely influence the management and conduct of UN operations within a mission area.

57 Contributing Member States 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 UN operational control shall not act on national direction or instructions if those instructions may result in actions contrary to UN policies or adversely affect implementation of the mission's mandate. In the event a national contingent commander is unable to satisfactorily resolve an important police employment issue within the mission (i.e. the HOPC and then HOM) then the officer may submit the issue to the contributing Member State for consideration, which may consequently involve national discussions with the USG DPKO, through appropriate DPKO staff. The HOPC, through the HOM, may raise the issue to USG DPKO.

58 The HOPC shall ensure consultation and liaison in the field with the senior national Police Officer or national Police Contingent Commander from each contributing Member State.

E.4 Civilian authority vis-à-vis military and police components

59 The HOM has UN operational authority over all personnel deployed in a UN peacekeeping operation. The HOM shall exercise his/her operational authority over the military and police components through the Heads of those components.

60 Instructions from the HOM to the military or police components of a mission shall be communicated through the HOMC or HOPC, following consultation with these heads of components. The HOM and other civilian staff must respect the military and police command structures and shall not have direct operational control over military or police contingents/personnel except where the HOM is also the Force Commander/Police Commissioner, in which case, he/she shall retain direct operational control over all military or police contingents/personnel. This ensures respect for internal command and control arrangements. Nevertheless, the military and police components will consult and coordinate the planning and execution of all major military and police operations and (re)deployments with their civilian component counterparts.

61 At the tactical level, civilian heads at the regional/sector level do not hold command or control authority over the military or police components, however, the civilian head of office at regional/sector/field level shall be responsible for the establishment of effective coordination mechanisms, including for example a regional management team or coordination committee, to coordinate military, police and civilian activities in accordance with paragraph 40, above. All components shall respect the coordination lead of a designated regional/sector co-ordinator.

62 Where the HOMC or HOPC assign uniformed personnel to serve in civilian, integrated or other components, for example, to Joint Logistics Operations Centre (JLOC), Integrated Support Services (ISS), UN Mine Action Coordination Centre or a Joint Mission Analysis Centre, the HOMC and HOPC maintain operational control over those personnel, however, the heads of the component to which they have been assigned shall be responsible for the day-to-day tasking authority over assigned military and police personnel and also serve as such personnels' first and second reporting officers for performance appraisal. HOMC and HOPC should be added as an additional reporting officer for the assigned personnel.

E.5 Civilian management arrangements in multidimensional operations21

63 Civilian management systems in UN multidimensional peacekeeping operations do not follow a standard command and control model. The civilian managerial system may vary from mission to mission based on the nature of the mandate tasks and the size of the mission.

E.5.1 Civilian reporting arrangements

64 As with the military and police components, civilian heads of components (generally DSRSGs and the DMS/CMS report directly to the HOM**22**. The heads of civilian substantive components, in consultation with the HOM and with DPKO, shall determine the internal reporting and managerial relationships within their components.

65 Civilian staff assigned to serve in integrated or joint office structures, or to serve in uniformed components within the mission, shall be responsible to, and report to, the heads of those offices with only technical communication and reporting lines back to their technical components in the mission. For the purposes of performance appraisals (EPAS), the first reporting officer of such civilian staff is the head of the integrated or joint structure in the event this head holds a UN letter of appointment. In this case, the head of the technical component would be added as second reporting officer. In the event the head of the integrated or joint structure does not hold a UN letter of appointment, the head of the technical component would be the first reporting officer; however, he/she would take into account feedback received from the head of the integrated or joint structure.

E.5.2 Civilian management structures

66 The managerial structures of the civilian substantive and support components are designed in the form of offices and staff tables within the mission's budget. Any adjustments to these arrangements should be reflected through the standard budgeting process of the mission.

E.5.3 Civilian financial authority

67 Although the SRSG is the Head of Mission and has overall managerial responsibility for the mission as a whole, the DMS/CMS exercises control over UN financial and administrative resources. The DMS/CMS has financial authority and accountability for all UN resources in the peacekeeping operation and is responsible for the efficient and effective provision of administrative and logistical support to all components of the missions. This financial authority has been delegated to the DMS/CMS from UN Headquarters by the USG Department of Management (USG DM). The DMS/CMS may delegate certain financial and administrative responsibilities to personnel serving on UN employment contracts, in accordance with relevant UN rules, regulations and instructions.

68 In relation to logistical resources, the authority of the DMS/CMS is exercised through the Integrated Support Service (see section E.6 below), which integrates the tasking and management of both military and civilian assets. Specific arrangements for the provision of logistics support to other units and agencies shall be issued by the DMS/CMS in a mission

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21 Note that the civilian component includes UN staff, contractors and civilian experts on missions, including for example, uniformed corrections officers who serve in the civilian components. The reporting of consultants and contractors working to UN civilian staff are governed by the terms of their contracts with the United Nations, which should be consistent with this policy.

22 Some civilian chiefs of component or heads of sections may maintain technical reporting lines to Headquarters support structures. For example, The Head of the human rights office may establish a technical reporting line to the High Commissioner for Human Rights. The chief of Mine Action may establish a technical reporting line to the Director of the Mine Action Service in DPKO. The DMS/CMS may maintain a technical reporting line to the ASG/OMS. These technical reporting lines are secondary and subordinate to the management reporting line within the Mission Headquarters.

level directive. The DMS/CMS may also delegate certain financial and administrative responsibilities within the mission or in a specified sector, area or location to staff member holding a UN letter of appointment who may be required to provide local logistics support to other units and agencies.**23**.

E.6 Integrated Support Services and Tasking Authorities

E.6.1 Integrated Support Services

69 The United Nations is required to maintain a complex mission support system that integrates military logistical support assets contributed by Member States to the United Nations as well as civilian assets and resources that are generally contracted by the United Nations to provide logistical and other support to the peacekeeping operations. The management of both logistical support systems is integrated under a single administrative entity called the Integrated Support Service.**24**. The purpose of the ISS arrangement is to provide efficient administrative support to the mission's military, police and civilian components through the optimisation of the mission's combined resources.

70 The Integrated Support Service (ISS) is a joint uniformed/civilian organization under the management supervision of a civilian Chief of Integrated Support Services (CISS). Under the direction of the DMS/CMS, the Chief of Integrated Support Services (CISS) is responsible to meet as effectively and efficiently as possible all of the operational support requirements of the uniformed and civilian components of the mission, while ensuring fully accountable and optimal use of mission resources.

71 The Chief of ISS provides management supervision over all of a UN peacekeeping operation's civilian, commercial and military logistics support resources, excepting those committed solely to military operations. Prioritisation of resource allocation should be made based on decisions of the Mission Leadership Team and based on an agreed mission plan and logistics support plan. Based on these priorities and on requests received through the Joint Logistics Operations Centre (JLOC) from mission components, the CISS assigns resources to priority operational requirements. The role of the JLOC is defined in more detail below in Section E.7.

72 To ensure that the appraisal process for CISS reflects the inputs of major clients of the CISS under the integrated support system, the DMS/CMS (as first reporting officer for the CISS) should add the heads of the military and police components as additional reporting officers for the performance appraisal of CISS where either of these form major components of the mission. Civilian components which are clients for CISS should provide their appraisal feedback on CISS performance through the DMS/CMS.

73 The Deputy Chief ISS reports to the Chief ISS but remains under the operational control of the HOMC. The Chief ISS is the first reporting officer for the Deputy Chief ISS. The HOMC is the additional reporting officer. Civilian and military officers should be interleaved at all levels of the ISS management structure. Regionally based civilian logistics officers may also be appointed, and report to the Chief ISS, to better serve the support requirements throughout the mission area.

E.6.2 Tasking Authority for Mission Assets

74 The Chief ISS assists the DMS/CMS in the day-to-day management and control of all UN-owned assets and logistics support contracts. On behalf of the DMS/CMS, the CISS exercises tasking authority over all assigned uniformed logistics personnel and enabling units comprising

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23 E.g. for operating local water points and providing regional medical support services.
24 The exception is specialized support for unique or uncommon unit equipment and intimate logistics support provided by organic capacity within a unit (known as first line support).

medical, signal, logistics, construction engineering **25** (except combat / field engineers), transportation and movements units, including military transport helicopters within the peacekeeping mission.

75 The HOMC shall exercise tasking authority over combat support units comprising combat aviation (attack/armed and observation helicopters), and other purpose-built helicopters for combat tasks such as reconnaissance and surveillance, combat engineers (field engineers) and EOD units. The HOMC exercises 'UN operational control' over these military enabling units whereas the 'tactical control' is exercised by the respective unit commanders. While the DMS/CMS has tasking authority over military utility helicopters, he/she will make a written allotment of specific flying hours of utility helicopter support required for operational movement of reserves and reinforcements; and emergency medical evacuation, under direct control of the HOMC on monthly basis. All entities controlling aviation assets in the mission will intimate daily routine tasking to the Mission Air Operations Centre (MAOC), 24 hours in advance except in emergencies, to ensure coordination of air space with Civil Aviation authorities of the host country**26**.

76 The Chief of Mine Action Coordination (CMAC) shall exercise tasking authority over military personnel assigned to the Mine Action Coordination Centre (MACC) and over military personnel and units assigned to specific mine action programmes. The CMAC shall coordinate and direct the UN civilian and military mine action effort on behalf of the HOM within a peacekeeping mission**27**. The HOMC shall retain 'UN operational control' over military personnel assigned to MACC and specific mine action programmes.

77 The tasking authorities described in paragraphs 72 to 74 above shall be exercised by the DMS/CMS, HOMC and CISS in a collaborative and cooperative spirit to ensure the achievement of mission operational priorities in support of the mission plan.

E.7 Mission Integration Arrangements

78 A number of integration and coordination arrangements have been established for UN multidimensional peacekeeping operations to facilitate unity of effort in the achievement of mission objectives across all components. These include:

78.1 Mission Leadership Team;

78.2 Security Management Team;

78.3 Integrated Mission Planning;

78.4 Joint Operations Centres;

78.5 Joint Mission Analysis Centres;

78.6 Joint Logistics Operations Centres; and

78.7 Coordination mechanisms at tactical level

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25 The current classification and the nature of the military engineering effort at times is such that it is difficult to determine clearly whether overall the unit is a construction engineering unit or field engineering unit. In such cases, within 30 days of the receipt of this directive, the HOMC and DMS/CMS will jointly reclassify these engineering units as 'Combat' or 'Construction/ Maintenance' and intimate such reclassification to both DPKO and DFS. Pending such reclassification, such units will be placed under the tasking authority of the HOMC who in consultation with DMS/CMS will assign tasking authority over all such military construction capabilities to the DMS/CMS and CISS. Where necessary, the HOM may decide between competing priorities. Further, for future missions the DPKO-DFS would classify clearly prior to their deployment the nature of Engineer Units as to whether they are Combat Engineers or Construction Engineers.

26 HOMC will be judicious in usage of allotted transport helicopter effort and would be accountable for the utilisation if there are no conditions meriting use, HOMC may not utilise the allotted effort in a given month. An operational cushion of definite air mileage will be indicated in the allotment to cater for stretched employment.

27 Mine Action within the UN requires that de-mining activities within the Peacekeeping operations comply with International Mine Action Standards (IMAS). IMAS are civilian standards that are designed to ensure the safe use of previously mined areas for mission and civilian purposes.

79 These mission-wide integration capacities are established at the mission headquarters level. Although these have no direct command and control authority over individual components, such joint and integrated entities shall be supported, and afforded full cooperation, by all components.

80 The HOM shall be responsible to ensure that all Heads of Components support these integration support structures. The HOM is supported by Deputy HOM and the Mission Chief of Staff in ensuring the overall integration and coherence of the mission. Each of the major integration arrangements are defined in more detail below.

E.7.1 Mission Leadership Team

81 The HOM shall establish an integrated Mission Leadership Team (MLT) as the mission's primary executive advisory forum to support integrated decision making and to oversee integrated strategy development and planning. The HOM shall determine the composition of the MLT but it should in all cases comprise the Heads of all the major mission components. The Mission Leadership Team should meet regularly and should be chaired by the HOM and, in his/her absence, the officer-in-charge. The MLT may include ex officio members and members who attend to provide briefings to the MLT. The HOM may supplement the MLT with particular subject matter experts and specialists as required. The need for inclusive decision-making should be balanced against the need for a restricted group for sensitive decisions and the efficiency of the decision-making process.

82 The Mission Chief of Staff (Mission COS). The Chief of Staff performs a senior level staff and advisory function for the HOM and Senior Management Team. While the specific role of the Mission Chief of Staff may vary from mission to mission, Mission Chiefs of Staff are generally responsible for, inter alia: the effective and integrated management of all the mission's activities, in line with the strategic vision and guidance of the HOM; guidance on UN rules and regulations, as well as relevant DPKO policies and procedures together with the DMS/CMS; coordination of mission policy and implementation among the various components of the Mission; development of integrated mission plans and results-based budgeting frameworks that reflect the mandate of the mission and ensuring an integrated approach to the fulfilment of the mandate. The Chief of Staff fulfils this function in cooperation with the Heads of Military and Police Components but does not have direct authority over the personnel in those components.

E.7.2 Security Management Team

83 The Designated Official shall convene and chair the UN Security Management Team (SMT). The Membership shall normally comprise the head of each United Nations organization present at the duty station and the chief security adviser, and from within the peacekeeping mission may also include: mission heads of offices or sections, as specified by the Designated Official. The members of the Security Management Team have a collective responsibility to support the Designated Official in the discharge of his/her mandate related to the safety and security of all personnel employed by the organizations of the United Nations system and their recognized dependants.

E.7.4 Integrated Mission Planning

84 In accordance with the Secretary-General's Guidelines on Integrated Mission Planning (June 2006), an Integrated Strategic Framework should be issued under the authority of the HOM. The Mission Plan is an essential tool for the Mission Leadership Team to support the successful management and integration of a mission. Management decisions and priority setting should be informed by the mission leadership with reference to a regularly updated Mission Plan, which contains priority tasks and milestones. The mission plan should be reviewed regularly and complemented by contingency plans. The office of the Chief of Staff is generally responsible for developing and maintaining an overall mission plan in consultation with all components and offices.

E.7.5 The Joint Operations Centre

85 The Joint Operations Centre (JOC) is a joint military, police and civilian entity which monitors situation reports and operational reports from all sources within a UN peacekeeping operation on behalf of the HOM. The JOC collates reports received from all possible sources and ensures these are disseminated in accordance with the guidance of the HOM. During crises, the JOC acts as the mission crisis management centre and provides support to the Mission's Crisis Management Team, as described in section E.8.2 below.

86 The Chief JOC shall establish specific arrangements and mission policies to guide JOC tasking and reporting in accordance with the *DPKO Policy on JOC and JMAC* (July 2006). Mission components contribute both uniformed and civilian personnel to the JOC and ensure that appropriate expertise is made available for the effective integration of operations. The Chief JOC shall exercise tasking authority over all personnel (military, police and civilian) assigned to the JOC and act as their day-to-day management. The HOMC and HOPC retain UN operational control**28** over military and police personnel assigned to JOC.

E.7.6 Joint Mission Analysis Centre

87 The Joint Mission Analysis Centre (JMAC) is a joint uniformed/civilian entity that manages the collection, collation, analysis and dissemination of the mission's operational information analysis. The Chief of JMAC ensures that the JMAC serves as a decision support-and planning-support tool for the HOM and Mission Leadership Team in safeguarding and implementation of the mission's mandate. The HOMC and HOPC should also utilise the JMAC to support planning for any discrete component operations.

88 The Chief JMAC, in consultation with the HOM and the Senior Management Team, shall establish mission information requirements to guide JMAC tasking, analysis and reporting, in accordance with the DPKO *Policy on JOC and JMAC (July 2006)*. Mission components contribute uniformed and civilian personnel to the JMAC, ensuring appropriate expertise is made available for the effective collection, collation, analysis and dissemination of intelligence. The Chief JMAC will exercise tasking authority over uniformed personnel assigned to the JMAC. The Chief JMAC shall exercise tasking authority over all personnel (military, police and civilian) assigned to the JMAC and act as their day-to-day manager. The HOMC and HOPC retain operational control over military and police personnel assigned to JMAC. Critical timely information of risk and threat must be passed to all mission components.

E.7.7 Joint Logistics Operations Centre

89 The Joint Logistics Operations Centre (JLOC) is a joint uniformed/civilian organization which provides functional interface for the Integrated Support Service (ISS) with the rest of the mission. The JLOC oversees and manages the routine receipt, analysis, and tasking of all requests from within the mission for logistics support, on behalf of the Chief ISS. All logistics support requests must be submitted to the JLOC for appropriate action. The JLOC should be located adjacent to the JOC to enable optimum efficiency in mission planning and operations management**29**. The DMS/CMS, CISS and Chief JLOC, in consultation with the Mission Leadership Team, shall establish specific arrangements and mission policies to guide JLOC tasking and will regularly review the prioritization of mission support effort. The Chief JLOC shall exercise tasking authority over personnel (military, police and civilian) assigned to the JLOC and acts as their

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28 The HOMC or HOPC will not task directly or reassign/ redeploy the military and police personnel assigned to the JOC or JMAC until and unless these organs are placed under their direct control or the operational conditions necessitate evacuation of civilians in-charge of JOC and JMAC.

29 Based on availability of space, ease of operation and other mission specific factors, the JLOC may also be co-located with logistics support units.

day-to-day manager. The HOMC and HOPC retain operational control over military and police personnel assigned to JLOC.

E.7.8 Tactical level coordination mechanisms

90 The HOM shall ensure that appropriate mechanisms are established at the tactical level to coordinate the work of different mission components to ensure unity of effort of the mission and other UN actors in regions/sectors. Civilian heads of regional/sector/field offices shall establish and maintain close liaison and communication with all uniformed and civilian mission components as well as UN agencies, funds and programmes, the national authorities and NGOs operating within their assigned regions or districts. Although regional/sector Military Commanders and regional/sector Police Commanders have primary reporting lines to the HOMC and the HOPC respectively; the regional Military Commander, regional Police Commander and civilian regional Head of Office shall consult and coordinate on the planning and execution of all activities, in accordance with paragraph 40 above.

E.8 Crisis Management Arrangements

91 Although the host government has primary responsibility for the protection of UN staff and property, missions must have in place the necessary crisis management arrangements to manage their own safety and security and have capacity to respond in a well-integrated manner during crises. Crisis management arrangements must reinforce and strengthen existing command and control systems and should in no way undermine them.

E.8.1. Integrated Contingency Plans

92 Heads of Components are responsible to ensure that integrated contingency plans that are both responsive and practical, are developed early in the life of the mission, and are subsequently regularly reviewed and rehearsed. The HOM is responsible for ensuring that heads of components develop integrated contingency plans at both mission headquarters and at regional/tactical levels, including a programme of regular review and practice/rehearsal.

93 Heads of Component should ensure that contingency plans allow for delegation of decision making at lower levels within their respective components during crisis situations, given the unreliability of communications and difficulty of issuing detailed instructions. All components' contingency plans must be developed in close cooperation and consultation with other mission components and other UN agencies, funds and programmes and the national authorities particularly at tactical levels. Integrated local contingency planning will enable all UN staff to respond quickly to effectively implement the local contingency plan and take appropriate action to protect staff members and other eligible persons.

E.8.2 Crisis Management Team

94 All missions shall have a pre-assigned Crisis Management Team (CMT), which acts as the senior executive group responsible for overall decision-making and coordination to mitigate or resolve the crisis. The Chair and membership of the CMT shall be pre-assigned by the HOM and should be activated immediately in the event of a crisis. The CMT is activated by decision of the Head of Mission (or Officer-in-Charge). Periodic exercises should be conducted with senior mission staff in order to effectively address time sensitive incidents.

95 The CMT should comprise at least the following membership: Deputy SRSG(s), the Heads of the Military and Police Components, the Mission Chief of Staff, the Director of Mission Support/Chief of Mission Support (DMS/CMS), Chief Security Officer/Advisor (CSO/CSA), the heads of the political affairs and public information offices and, as applicable, the Resident Coordinator/Humanitarian Coordinator. The CMT may wish to expand to include specialists

such as the Chief Integrated Support Services, the Force Medical Officer, the Spokesperson and others, as needed.

96 During a crisis, the Joint Operations Centre (JOC) serves as the operational arm of the CMT and constitutes the focal point for all information flow within the mission and between the mission and the DPKO Situation Centre (SITCEN). The JOC is responsible for the primary liaison with the regional/local offices of the mission. In missions without a JOC, the Head of Mission shall establish an alternate, designated structure to serve as a 24/7 integrated communications and information focal point for the duration of the crisis. The distinctive JOC functions during the crisis are as follows:

96.1 Act as information hub.

96.2 Act as a communication centre.

96.3 Act as meeting and decision making centre for the CMT.

96.4 Act as monitoring centre.

E.8.3 Joint Military-Police Operations

97 As described above, the police and military components report through their own command frameworks. As a general rule, the personnel, units and sub units from one uniformed component are not placed under direct technical supervision or tactical control of another component. During crises or critical incidents, however, a uniformed unit or sub-unit of one uniformed component may be placed temporarily under command of the other uniformed component. The tactical control over any sub-units will be exercised through the chain of command of the units placed under the command of the other uniformed component at the site of an incident.

98 Potential scenarios for such incidents should be identified in advance in contingency plans.**30** Command and control arrangements for particular contingencies should be developed in advance and approved jointly by the HOPC and HOMC. The following paragraphs provide general guidance for the development of such arrangements in missions, with particular reference to situations of escalating public disorder.

99 In the event that a routine policing operation escalates beyond the police capacity to effectively respond (regardless of any UN police operational support) the military component may be requested to provide security assistance to prevent the loss of life or property. In these circumstances, specific tasks must be identified for the military component to undertake, in liaison with the designated Police tactical commander. The police will 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 senior most United Nations Police Officer or Formed Police Unit Commander in location (at the site of incident) to be beyond police capacity.

100 In case of joint operations to address situations of public disorder with personnel of Formed Police Units (FPUs)/other constituted body of police personnel and Military Components, with or without other security personnel of the mission, the following arrangements will be in place**31**:

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30 The main (but not only) scenarios envisaged in UN peacekeeping operations that may affect both the police and military components are situations of escalating public disorder.

31 For further information pertaining to the cooperation between members of these police units and military components of the mission in order to address situations of public disorder, consult DPKO *Policy on the Functions and Organization of Formed Police Units in United Nations Peacekeeping Operations*, (9 November 2006).

100.1 Situations of Public Disorder of a Non-military Nature. This generally refers to the situations of public disorder where there is no sustained use of firearms or military weaponry. In such circumstances, the FPUs/other constituted body of police personnel should have primacy in addressing such situations in support of or in cooperation with national law enforcement agencies, as applicable. The Head of Police Component or the FPU 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 senior most UN Police Officer or FPU Commander in location (at the site of incident) will exercise overall command. The assignment of military personnel must be coordinated with the Force Commander/Sector/ Battalion Commander, as applicable.

100.2 Situations of Public disorder of Military Nature. This generally refers to the situations of public disorder where there is sustained use of firearms or military weaponry. In such circumstances units of the military component would have primacy in addressing such situations in support of or in cooperation with relevant national agencies as applicable. The Head of the Military Component or Sector/ Unit Commander may request FPU/ constituted body of police personnel and/ or other security personnel to perform specific missions or tasks. In these situations, the senior most Military Commander in location (at the site of incident) will exercise overall command. The assignment of FPU/ constituted body of police personnel must be coordinated with the Head of the Police Component or the nearest Regional or District Commander or equivalent, as applicable.

101 The arrangements set out in paragraph 100 should not result in any operational delays to address the situations of public disorder. The HOM, through the HOMC and HOPC, is responsible for ensuring that necessary arrangements and standard operating procedures are developed between military and police components at the start of a peacekeeping mission. Early contingency planning, training, rehearsals and exercises, including simulations will be carried out on a regular basis to ensure that the HOM and senior uniformed UN commanders are sufficiently prepared. All mission management arrangements, plans and procedures associated with this must then be submitted to and approved by the HOM and regularly reviewed and practised throughout the life of the mission. Lessons-learned in addressing such situations of public disorder, as well as through exercises, should be shared with DPKO for advice and evaluation. The policy above should be applied in missions in letter and spirit.

E.8.4 Military Rules of Engagement and Police Use of Force Directives

102 At the commencement of a mission, a technical directive is issued by UN Headquarters to each armed component (military and police), which provides the specific authority that can be exercised by individual members of these components in the use of unarmed and armed force to safeguard and implement the mandate of the mission. For a military component, the directive is known as the 'Rules of Engagement' (ROE) and for the police component it is known as the 'Directive for the use of Force and Firearms'. The HOM is responsible for ensuring that the HOMC and HOPC fulfill the duties and responsibilities assigned to them in these directives but shall not interfere in the military or police chains of command in relation to the use of force. The HOM should deal exclusively through the HOMC and HOPC on this matter.

103 The HOMC and HOPC are each responsible for ensuring that armed members of their respective components are appropriately trained and familiarized with the technical elements of the directive, and for compliance. This responsibility includes the conduct of internal inquiries or investigations in the event of death, injury or property damage caused by the use of armed or unarmed force by respective component members. An internal inquiry or investigation is mandatory in the event of injury or death to unarmed or otherwise vulnerable civilians during any incident involving the participation of armed UN personnel.

F. Unity of Command and Integration of Effort at Headquarters and the Field

104 Unity of Command and Integration of Effort at UN Headquarters and the Field will be achieved in accordance with the provisions laid down in Section C, paragraph 111 to 127 of the Secretary-General's report to the General Assembly, A/61/858 dated 13 April 2007, "Comprehensive report on strengthening the capacity of the United Nations to manage and sustain peace operations". In the field, unity of command would be maintained by preserving the existing overall authority of the Head of Mission over all mission components **32**. At the Headquarters, the keystone of unity of command would be that the Department of Field Support would report to, and receive direction from, the Under-Secretary-General for Peacekeeping Operations on all matters falling under the purview of the Department of Peacekeeping Operations prior to 01 July 2007.

G. REFERENCES

Superior References

- Secretary-General's Bulletin, Functions and organization of the Department of Peacekeeping Operations (15 May 2000).
- Secretary General's Bulletin, Observance by UN Forces of International Humanitarian Law of (6 August 1999).
- Secretary-General's Note of Guidance on Integrated Missions (17 January 2006).
- Secretary-General's Decisions on Human Rights in Integrated Missions (26 October 2005).
- Decision No. 2005/12, Policy Committee Meeting (19 July 2005).
- Secretary-General's Bulletin, Special Measures for protection from sexual exploitation and sexual abuse, ST/SGB/2003/13, 9 October 2003.
- General Assembly Resolution, Criminal accountability of United Nations officials and experts on mission, A/RES/62/63, 18 August 2007.
- Revised model Memorandum of Understanding, A/61/19 part III, 12 June 2007

Related Directives and references

- DPKO Policy Ref. DPKO/PD/2006/00060, Functions and Organisation of Formed Police Units in United Nations Peace Operations (9 November 2006).
- DPKO, Guidelines for the development of Command Directives for the Force Commander and the Chief Military Observer in UN Peacekeeping Operations, (October 2001).
- DPKO Policy Directive on JOC and JMAC (1 July 2006).
- Integrated Mission Planning Process (IMPP) Guidelines (17 July 2006).
- SRSG Standard Directives (1998).
- Report of the Secretary-General on the Strengthened and Unified Security Management System for the United Nations (A/61/531).

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32 Though this policy does not deal with the protocol issues, it is emphasised that HoM's position as the most senior UN Authority in the UN Mission(s) should be respected during the functions/ parades and gatherings organised by either/all components of the mission.

H. MONITORING AND COMPLIANCE

105 Senior mission leaders at all levels within UNHQ (DPKO and DFS) and UN peacekeeping missions should monitor and ensure compliance with this policy. All senior leaders within UN peacekeeping missions are to make arrangements to ensure implementation of this policy. This policy should have primacy in the event that a discrepancy is identified between this and other DPKO guidance documents that relate to the authority, command and control of uniformed components in peacekeeping operations.

106 A failure to comply with the guidance provided in this policy may constitute an act of serious misconduct and may lead to disciplinary measures. The DPKO Inspector-General shall monitor and report on compliance with this policy through periodic inspections.

J. Applicability of this Policy to Hybrid Missions

107 To overcome the criticalities of Authority, Command and Control in the hybrid operations as signified by United Nations-African Union Hybrid Operation in Darfur (UNAMID), the provisions of the "United Nations Policy on Authority, Command and Control in UN Peacekeeping Operations" will be applicable to all hybrid and joint missions, wherein the "Operational Authority" and "Operational Control" in hybrid and joint peacekeeping operations would be exercised respectively by the SRSG and Head of Military/ Head of Police Components, jointly appointed by the UN and the partner organisation. The provisions will also apply at the Sector/ Brigade level, referred to as "UN Tactical Control", when such tactical control is exercised by the Sector/ Brigade Commander or an equivalent Police Commander jointly appointed by the UN and the partner organisation. Further, the provisions of this policy will be applied to only those hybrid or joint operations which draw their mandate from the Security Council resolutions as a hybrid or joint operation duly identifying the partners and laying down the basic framework of the cooperative spirit of the United Nations peacekeeping.

K. DATE OF EFFECT

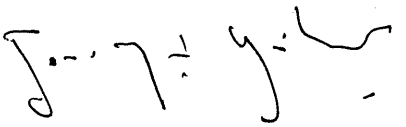
108 This policy shall be effective from 15 February 2008. The policy shall be reviewed no later than 01 March 2009.

L. SPONSOR

109 The DPKO sponsor of this policy is the Office of the Military Adviser.

M. HISTORY

110 This policy was approved by the ESMT on 14 May 2007 and as per ESMT directions has subsequently been coordinated fully with all the peacekeeping Missions and internally within DPKO-DFS. Comments received from peacekeeping missions, including DPKO-DFS comments as a result there of, have been compiled, analysed and incorporated in this policy with DPKO-DFS concurrence. Duly approved by DPKO-DFS, this policy replaces the DPKO Policy on, Command and Control of Military Components in UN Peacekeeping Operations, dated October 2001.



Jean-Marie Guéhenno
Under-Secretary-General
Department of Peacekeeping Operations
15 February 2008