



**POLICY FRAMEWORK FOR THE
CIVILIAN DIMENSION
OF THE
AFRICAN STANDBY FORCE**

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A. INTRODUCTION

Background

1. Most contemporary Peace Support Operations (PSOs) are mandated to assist countries with the implementation of a ceasefire and/or comprehensive peace agreement aimed at managing a transition from a state of conflict to a future state of sustainable peace. As such, they have evolved far beyond the traditional peacekeeping concept of primarily military cease-fire monitoring operations. These new peace operations have complex mandates that cover the political, security, humanitarian, development and human rights dimensions.
2. In order to manage these new multidimensional operations the African Union (AU) and United Nations (UN) have developed an integrated mission management structure that typically consists of a civilian Head of Mission, which in the AU context is the Special Representative of the Chairperson of the Commission (SRCC). S/he can be supported, depending on the mandate and scope of the mission, by one or more (civilian) Deputy SRCCs, a (military) Force Commander, a (civilian police) Commissioner of Police, various heads of substantive civilian components, and a (civilian) Head of Mission Support¹.
3. Such operations are also supported by a number of substantive civilian components that consist of functional specialists selected to address one or more of the elements of the mission's mandate. These substantive civilian components include, amongst others, Political Affairs, Public Information, Planning & Coordination, Human Rights, Humanitarian Liaison, Legal Advice, Rule of Law, Disarmament, Demobilization and Reintegration (DDR), Electoral Affairs, Child Protection and Gender.
4. Another element is the addition of a police component that has responsibilities, depending on the mandate, that can range from monitoring, mentoring, training and advising the police force of the country where the mission is deployed, to taking on some or all of the police responsibilities of the country in question.

Aim and Scope

5. This Policy Framework addresses the management structures and processes, and the police and civilian functions, of multidimensional PSOs carried out under the auspices of the AU, using the resources of the ASF system. It also describes the required enabling systems and recommends various steps that need to be taken to harmonize this Policy Framework with other areas of the ASF.
6. The Policy Framework is premised on the understanding that AU PSOs are likely to operate in close cooperation with the UN and that in some instances the UN may take over responsibility for the PSO of the AU. It also recognises that most African civilian, police and military peacekeepers are trained to deploy on both AU and UN PSOs. The Policy Framework thus aims to

¹ Also known in some United Nations and African Union missions as 'Chief Administrative Officer (CAO)' or 'Director of Administration (DOA)'.

achieve approximate coherence between AU and UN integrated management structures, as well as its police and civilian components, so that the ease with which missions and its personnel can transition between the AU and the UN is enhanced.

AU Mandate for a Multidimensional ASF System

7. According to Article 13 of the Peace and Security Council (PSC) Protocol, the ASF shall be composed of multi-disciplinary civilian and military components held on standby in their countries of origin, and be ready for rapid deployment at appropriate notice.² And the Protocol states that the AU should establish and centrally manage a roster of “*mission administration*” and “*civilian experts*” to handle human rights, humanitarian, governance, reconstruction and DDR functions in future missions.
8. The framework document on the establishment of the ASF³ elaborates on the provisions of the PSC Protocol and serves as the common African position on the establishment of the ASF.
9. The PSC Protocol, Art. 13 (3), provides for several mission scenarios which include, amongst others, “*intervention in a Member State in respect of grave circumstances or at the request of a Member State in order to restore peace and security ...*” and “*peace-building, including post-conflict disarmament and demobilization*”. These ASF missions imply a multiplicity of activities with profoundly political consequences that cover the full gamut of conflict prevention, management, resolution, peacekeeping, and post-conflict reconstruction and development.
10. The ASF policy framework document states in Paragraph 2.1 that the generic components of a valid multidimensional PSOs capability comprise the following: *A legitimate political capacity to mandate a mission under the UN Charter; a multidimensional strategic level management capability; a mission HQ level multidimensional management capability; and mission components for multidimensional peace operations.*
11. Effective command and control of the ASF will therefore require the installation of an appropriate integrated and interoperable command, control, communication and information system (C3IS) infrastructure, linking

² Article 13 (1.) of the PSC Protocol reads as follows: “In order to enable the Peace and Security Council perform its responsibilities with respect to the deployment of peace support missions and intervention pursuant to article 4 (h) and (j) of the Constitutive Act, an ASF shall be established. Such Force shall be composed of standby multidisciplinary contingents, with civilian and military components in their countries of origin and ready for rapid deployment at appropriate notice.”

³ Policy Framework for the establishment of the ASF, Exp/ASF-MSC/2 (1), which was adopted by the Third Session of African Chiefs of Defence Staff on 15-16 May 2003 and *noted* by the Heads of State and Government at the Maputo Summit in July 2003.

deployed units with mission headquarters, as well as the AU Headquarters (HQ) and, where appropriate, with Regional Mechanisms.

12. As stipulated in the ASF Policy Framework, the standby brigades in each of the five regions will be composed of: a brigade headquarters and support unit; four infantry battalions; plus engineer; reconnaissance; helicopter; military police; logistic; and medical elements – as well as “*a civilian support group consisting of logistical, administrative and budget components*”.
13. The ASF Policy Framework also provides for a “*roster of civilian experts*” to fulfill human rights, humanitarian, governance, demobilisation, disarmament, repatriation and reconstruction tasks.
14. According to initial planning, the ASF would be established in two phases:
 - a. Phase 1 (up to 30 June 2005): The AU’s objective would be to establish a PLANELM for the management of military advisory and observation missions, while the five regions would establish regional standby forces up to brigade size to achieve capabilities for more complex missions.
 - b. Phase 2 (1 July 2005 to 30 June 2010): It is envisaged that by 2010 the AU will have developed the capacity to manage complex peacekeeping operations, while the five regions will continue to develop the capacity to deploy a mission headquarters for such missions, involving AU/regional peacekeeping forces.
15. However, it was decided that the civilian dimension and roster of experts was not a Phase 1 priority “*because UN humanitarian, development and human rights elements, which do not require a UN Security Council mandate, could deploy in tandem with an ASF mission.*” In fact, the draft AU Vision 2010 document states that “*... although police and other civilian capabilities will form important components of the ASF, owing to the absence of a detailed related police/civilian policy, the focus at this stage had to be mainly on the military aspects. ...*”⁴ This Policy Framework is intended to address this lack of detailed policy guidance on the civilian and police components of the ASF.

⁴ AU Commission (PSO Division), draft discussion document, Addis Ababa, October 2005.

B. MULTIDIMENSIONAL MANAGEMENT STRUCTURES AND PROCESSES

Introduction

16. The multidimensional nature of contemporary PSOs have created the need for integrated management and coordination structures at both the AU headquarter (strategic level) and mission (operational) levels. Integrated PSO management structures have to, on the one hand, coordinate, synchronize and ensure a coherent implementation of the mission mandate across the various multidimensional mission components and functions of the mission, and on the other hand, create synergy between the mission and other internal and external stakeholders and partners in the peace process. In this complex environment, the ability to manage, coordinate and integrate multiple components across dimensions, and to create linkages with other stakeholders and partners have become a critical success factor in contemporary PSOs.
17. The AU has recognised the need to ensure coherence between AU and UN PSO structures. The Policy Framework for the establishment of the ASF, states that: *“Given the goal contained in the Protocol establishing the PSC to involve the UN in the conduct of missions in Africa, any mission HQ level structure should be able to be handed over to, or incorporated into, a UN PSO with relative ease. ... For this reason the Meeting has based its advice on structures used in UN Missions. This approach is consistent with the endorsed recommendations of the Second ACDS Meeting.”*⁵
18. This approach has been further reinforced by the emerging policy of transferring Regional Mechanisms and AU PSOs to the UN once a given situation has been sufficiently stabilised.

⁵ Policy Framework for the establishment of the ASF, Exp/ASF-MS/2 (1), p.5, par 2.4.

Strategic-Level Management Structure and Processes

19. In accordance with Article 6 (Functions) and 7 (Powers) of the Peace and Security Council (PSC) Protocol, the PSC, has the sole authority for mandating and terminating AU PSO.
20. In accordance with Article 10 (The Role of the Chairperson of the Commission), the Chairperson is responsible for the overall management of AU PSO⁶. The Chairperson shall submit periodic reports to the PSC on the implementation of the relevant mandates of such missions.
21. The Chairperson of the AU Commission appoints a Head of Mission, typically called the Special Representative of the Chairperson of the AU Commission (SRCC), one or more Deputy SRCCs, a Force Commander, a Commissioner of Police, and those heads of substantive civilian components that are appointed above a certain level of seniority. The composition of the senior management team will be informed by the mandate.⁷
22. The Chairperson of the AU Commission will task the Commissioner for Peace and Security with the day-to-day management of AU PSOs. The Commissioner, through the Director of Peace and Security, will task the Head of the Peace Support Operations Division (PSOD) with the functional responsibility to plan, manage and monitor AU PSOs.
23. The Head of the PSOD will make use of the AU Planning Element (PLANELM) to plan any new PSO. The AU PLANELM shall have the capacity to plan for all potential missions, as well as all the multidimensional aspects of such potential missions. The PLANELM shall develop appropriate mechanisms to ensure early coordination with all relevant stakeholders. This implies that the AU PLANELM shall have an appropriate management structure and supporting staff, including military, police and civilian experts, to ensure that it is capable of performing its mandate. The PLANELM should, as part of the planning process, constitute an integrated assessment team that can undertake an on-site assessment of the prevailing conditions likely to be met by the PSO.
24. The PLANELM is responsible for developing an integrated mission plan, in consultation with all stakeholders, i.e. other departments within the AU Commission, Troop/Police Contributing Countries (T/PCCs), Regional Mechanisms, relevant members of the UN family and other international and regional organisations, bilateral partners, the parties to the conflict, where appropriate, and the Government and civil society of the country that will host the PSO. To facilitate this process the PLANELM shall establish, at the earliest opportunity, for each new mission envisaged, an Integrated Planning Task Force (IPTF) consisting of representatives of all AU units that may be

⁶ For comparative purposes, the Chairperson of the Commission may be considered as the African equivalent of the UN Secretary-General, and the Commissioner for Peace and Security as roughly equivalent to the UN Under Secretary-General for Peacekeeping.

⁷ The PSC Protocol, in Art. 13 (6),(7), provides for the appointment of a Special Representative and a Force Commander. This Policy Framework expands on this provision by adding the appointments of the other members of the senior management team of a typical multidimensional AU PSO.

called upon to play a role in the envisaged or mandated PSO, T/PCCs, and Regional Mechanisms. In addition, the PLANELM should establish a Planning Consultation Forum (PCF), which can serve as a vehicle for consultation and coordination with external (non-AU) stakeholders and partners.

25. Once the PSC has authorised a specific PSO the planning responsibility will transfer from the generic planning unit to a Mission Task Force (MTF)⁸ established for each new mission within the PLANELM. The establishment of an MTF should be one of the items addressed in the mandate of the PSO and it should be funded, in part, out of the mission budget.
26. Once a MTF is established, all mission planning, monitoring and support functions, including responsibility for the IPTF and PCF shall transition to the MTF. The AU PSOs Integrated Mission Planning and Management directive shall address and clarify the planning and management roles delegated to the Head of Mission, as well as the process for coordination and reporting between headquarters and the field.
27. The composition of the MTF shall flow from the mandate and should mirror, to the degree necessary for its purposes, the Mission-level Management structure of the PSO.

Recommendation

28. **The African Union (AU) Peace Support Operations Division (PSOD) shall develop a comprehensive AU Peace Support Operations (PSO) Integrated Mission Planning and Management directive that shall clarify the role and responsibilities of the various office bearers in the AU Commission, as well as the mission planning and management processes that will be followed with the establishment and support of each new PSO.**
29. **The AU PSOD shall develop, as part of the AU PSO Integrated Mission Planning and Management directive, comprehensive guidelines on the role and function, as well as participation in, the Integrated Planning Task Force (IPTF) and Planning Consultation Forum (PCF).**

Mission-Level Management Structures and Processes

30. The mission-level or operational management structure will be informed by the mandate of the mission, but will typically consist of a Special Representative of the Chairperson of the AU Commission (SRCC), one or more Deputy SRCC, a Force Commander, a Commissioner of Police, various heads of substantive civilian components, and a Head of Mission Support.
31. The Special Representative of the Chairperson of the AU Commission (SRCC) has the overall responsibility for the implementation of the mandate of

⁸ The Darfur Integrated Task Force (DITF) can serve as an one example of such a MTF. The UN DPKO's Integrated Mission Task Force (IMTF) concept should also be studied in this context.

the mission. This implies responsibility for the AU's role in the peace process, as well as responsibility for the overall management and integration of the PSO. The SRCC reports to the Chairperson of the AU Commission, through the appropriate channels.

32. One or more Deputy Special Representative of the Chairperson of the AU Commission (DSRCC) is responsible for coordination clusters of substantive civilian components as per the mission's mandate⁹. In some cases the SRCC may task one DSRCC with the responsibility to facilitate mission integration and coordination, and to act as the primary point of contact for humanitarian, development and other external partners. The principle DSRCC stands in for the SRCC whenever the latter is out of the mission's area of responsibility. The DSRCCs reports to the SRCC.
33. The Force Commander (FC) is responsible for achieving the military objectives of the mission's mandate and commands the military personnel in the mission. The FC reports to the SRCC.
34. The Commissioner of Police (COMPOL) is responsible for achieving the police objectives of the mission's mandate, and commands the police personnel in the mission. The COMPOL reports to the SRCC.
35. Each mission may have a number of substantive civilian components, each with their own head, depending on the mandate, and as discussed further in Section C - Civilian Components. Each head of a substantive civilian component will report to a DSRCC, or directly to the SRCC, depending on the specific organisational structure of the mission.
36. The Head of Mission Support (HoMS) is responsible for human resources, financial management, logistics, procurement, information technology, communications and administration. The HoMS reports to the SRCC.

The Office of the SRCC

37. The size and composition of the Office of the SRCC will be determined by the mandate and size of the mission, but is typically headed by a Director of the Office and various personal support staff of the SRCC.
38. The Office of SRCC has the overall responsibility for the multidimensional coherence and coordination of the mission. It shall thus have the capacity to coordinate all elements of the mission's mandate and is supported by a senior mission management team; typically comprising the DSRCC(s), Director of the Office of the SRCC, Force Commander, Commissioner of Police, Head of Political Affairs, Spokesman and the other Heads of Civilian Components, as well as the Head of Mission Support, and others as directed by the SRCC. In turn the mission senior management is supported by a Mission Operations Centre (MOC), a Mission Analysis Cell (MAC) and a Mission Planning and Evaluation Cell (MPEC). These supporting elements are coordinated by the Director of the Office of the SRCC, or a DSRCC, but are manned by staff seconded from other mission components.

⁹ On the basis of the UN example, such clusters could be Rule of Law; Governance; Operations, etc.

39. The Mission Operations Centre (MOC) is a 24-hour monitoring centre where duty officers from the military, police, substantive civilian and mission support components monitor and coordinate mission operations. The MOC serves as a crisis management centre, dealing with incidents as they occur, and serves as the communications hub between all military, police and civilian headquarters and AU headquarters. The MOC is responsible for producing a Daily Situation Report (D-Sitrep) for the mission leadership and AU headquarters.
40. The Mission Analysis Cell (MAC) is a mission-wide information analysis and management function that monitors the peace process by collating and analyzing all the information gathered by the military, police and civilian components of the mission. The MAC consists of officers seconded from the military, police, and substantive civilian components and its reports reflect the political, security, humanitarian, development and human rights dimensions of the peace process. The MAC is responsible for producing forward looking analytical reports on specific issues of concern.
41. The Mission Planning and Evaluation Cell (MPEC) is responsible for conducting and facilitating mission-wide planning, including multi-year plans, annual plans, phased transition plans, planning for special events and eventually the planning for the drawing down of the mission. The MPEC is also responsible for analyzing and evaluating mission progress and will provide periodic reports to the mission leadership on progress achieved against plans to ensure that mission plans are adjusted to reflect changing conditions capitalise on gains or counter unintended consequences. The MPEC is also responsible for identifying best practices and incorporating them into future plans and operations. The MPEC is also responsible for facilitating coordination between the mission, internal and external stakeholders and partners through hosting regular coordination meetings and by participating in those meetings hosted by other agencies. The MPEC consists of officers seconded from the military, police, substantive civilian and mission support components.

Sector Offices

42. When the size of a mission's Area of Responsibility (AOR) is so large that it cannot be managed efficiently with one headquarters the mission will divide the AOR into multiple Sectors and create an integrated Sector Headquarter for each. The Sector HQ will be headed by a civilian Head of Sector (HoS) who reports directly to the SRCC.
43. Each mission component that has an operational reason to be present in the Sector will be represented at the Sector HQ and there will be an integrated sector management structure that mirrors the mission headquarter structure, with a military Sector Commander, a Police Sector Commander, various sector heads of substantive civilian components, as informed by the mandate and the scope of the mission, and a Sector Head of Mission Support (S/HoMS).

44. The HoS facilitates coordination among the sector level components. The Heads of components report to their respective chains of command for operational purposes, with due consideration to sector-level coordination.

C. CIVILIAN COMPONENTS

Introduction

45. The ASF Policy Framework, para 3.14, envisages a civilian administration¹⁰ component and a range of substantive civilian components, as well as a standby roster that will aid the recruitment and deployment of civilian experts. The operative paragraph in the Policy Framework reads as follows: “...*the AU should establish and centrally manage a roster of mission administration, plus a roster of civilian experts to fill the human rights, humanitarian, governance, DDR and reconstruction component....*”
46. This Policy Framework builds on the recommendations made in the ASF Policy Framework and describes the functions that will be performed by civilian components in most AU PSOs. Some civilian components may be augmented by staff seconded from the military and police components.
47. Multidimensional AU PSOs shall, as a minimum, include the following substantive civilian functions: Political Affairs; Public Information; Planning & Coordination; Human Rights; Humanitarian Liaison; Legal Advice; Conduct and Discipline; Child Protection and Gender. In addition, and depending on the mandate, they may include Rule of Law (RoL); Electoral Affairs; Disarmament, Demobilisation and Reintegration (DDR); Civil Affairs and Security Sector Reform (SSR) functions.
48. The exact number of personnel, their seniority, and the structure of the various substantive civilian components that will be needed in any given PSO will be informed by the mandate and scope of the mission.
49. All AU PSOs shall require a mission support component that provides human resources management, financial management, logistics, procurement, engineering, geographical information services, information, technology and communications, transport, contingency owned equipment, security and integrated training services to the military, police and civilian components of the mission.

¹⁰ In this Policy Framework, the term ‘Mission Support’ is used to refer to the administrative and logistics support function referred to as ‘civilian administration’ in the original ASF Policy Framework.

Substantive Civilian Functions

Function	Description
Political Affairs	<ul style="list-style-type: none"> • Monitor and analyze the political aspects of the peace process and provide the mission leadership and headquarters with advice and reports on short, medium and long term developments and prospects • Undertake conflict prevention and peacemaking initiatives and partake fully in the implementation of any ceasefire and peace agreements as may be required • Draft the Reports of the SRCC to the Chairperson of the AU Commission • Facilitate the work of the Mission Analysis Cell (MAC)
Legal Advice	<ul style="list-style-type: none"> • Monitor mission planning and operations and provide legal advice to the mission on the legal implications of any intended actions and their consequences
Planning & Coordination	<ul style="list-style-type: none"> • Facilitate the mission planning process (multi-year, annual, phase transitions, special events, drawing down, etc.) • Analyze and evaluate mission progress and provide periodic reports to mission leadership on progress against plans, problem areas and unintended consequences • Facilitate coordination between mission, internal and external stakeholders and partners • Facilitate mission coordination processes and mechanisms, including the Mission Operations Centre (MOC) and the Mission Planning and Evaluation and Cell (MPEC)
Public Information	<ul style="list-style-type: none"> • Act as Spokesperson for the SRCC and mission • Develop and implement an effective public information campaign to keep the general public, mission members, stakeholders and partners informed of developments in support of the peace process and role and activities of the mission • Develop a media strategy, proactively gather and generate mission information and conduct regular press briefings • Develop regular public information guidelines that will assist mission staff with sharing a coherent mission view with all stakeholders and the media
Humanitarian Liaison	<ul style="list-style-type: none"> • Facilitate the establishment of a positive relationship between the humanitarian community and the various mission components, based on recognition and respect for humanitarian principles, including independence • Explore ways in which the mission can support the humanitarian community and coordinate mission support to the humanitarian community, in coordination with the Civil-Military Coordination (CIMIC) section of the military component, where relevant

Human Rights	<ul style="list-style-type: none"> Facilitate the promotion and protection of human rights, with particular attention to women, children and other vulnerable persons, through: human rights monitoring and reporting, advise and education to the parties to the conflict, monitor and advice new institutions on human rights issues Coordination human rights issues with stakeholders and partners
Gender	<ul style="list-style-type: none"> Provide policy and technical advice to the senior mission leadership, the host government and partners on strategies for advancing gender equality and women's rights in accordance with the African Union instruments on gender equality and women's rights and the provisions of UN Security Council Resolution 1325 on women, peace and security; Provide expert technical advice to inform policy and operational activities of Mission components and ensure the delivery of appropriate training for all levels of personnel; Strengthen and expand partnerships including with the national machinery for the advancement of women's rights and gender equality; Document and disseminate good practices and lessons learned to inform policy decisions.
Child Protection	<ul style="list-style-type: none"> Facilitate and promote child protection in the peace process through advice, education and coordinating the child protection efforts among stakeholders internally and networking with external stakeholders and partners.
Conduct and Discipline	<ul style="list-style-type: none"> Disseminate, promote and familiarise AU staff with the AU PSO Code of Conduct; Monitor compliance with the Code of Conduct and the AU PSO Conduct and Discipline policies, and investigate all complaints according to the AU PSO Conduct and Discipline policies; Undertake proactive training and monitoring to prevent cases of sexual abuse and exploitation (SEA)
Rule of Law (RoL)	<p><u>Judicial</u></p> <ul style="list-style-type: none"> Monitor the judicial process and provide advice and assistance to promote the independence of the judiciary, highlight any improper pressure on judges, prosecutors and courts Provide expertise to improve the quality of justice and access to justice through reform of criminal law, policy and practice Collect, analyze and disseminate criminal justice data Assist the government to re-establish the authority of the judiciary and the rule of law throughout the territory Coordinate closely with the police and other state security services to ensure a coherent and system-wide rule of law approach <p><u>Corrections</u></p> <ul style="list-style-type: none"> Monitor and advise on reforming the correction services <p><u>Police</u></p> <ul style="list-style-type: none"> Refer to section D - Police Component

Electoral Affairs	<ul style="list-style-type: none"> • Provide technical and logistical advice and support to the Independent Electoral Commission (IEC) • Facilitate and participate in the monitoring of elections
Disarmament, Demobilization and Reintegration (DDR)	<ul style="list-style-type: none"> • Assist the parties to the conflict, in consultation with all stakeholders and partners, with the design and implementation of the national DDR programme
Civil Affairs	<ul style="list-style-type: none"> • Facilitate liaison between the mission and national, provincial and local authorities and civil society to assist with the recovery, rehabilitation and reconstruction of social services and the extension of state authority • Coordinate with other stakeholders and partners active in this area • Facilitate inter-communal dialogue and consultations as a confidence building measure
Security Sector Reform (SSR)	<ul style="list-style-type: none"> • Advise SRCC, Force Commander, Commissioner of Police and other relevant components on issues or initiatives associated with Security Sector Reform.

Mission Support Functions

Function	Description
Human Resources	<ul style="list-style-type: none"> • Human resources services, including recruitment and contract management of local and international personnel, managing staff conduct and behaviour • Provision of staff welfare and counselling services • Provide insurance and medical services including emergency medical evacuation
Financial	<ul style="list-style-type: none"> • Financial management services, including budgeting, accounting, cash management, payments and contractor management
Procurement	<ul style="list-style-type: none"> • The procurement of all aspects of logistical support, including life cycle management¹¹, for the mission. Including provision of: mission assets to all mission components, fleet management, provision of an integrated communications infrastructure system (CIS) including design, installation, etc
Logistics	<ul style="list-style-type: none"> • Logistics and integrated support, including distribution of mission assets to all mission components, including vehicles, computers and stationery and provide bulk supplies of water, fuel products and foodstuffs
Engineering	<ul style="list-style-type: none"> • Provide accommodation, building management and civil engineering services

¹¹ Life Cycle Management includes the support of a logistic item from cradle to grave.

Geographical Information Services (GIS)	<ul style="list-style-type: none"> • Geographical information and mapping services
Information, Technology and Communications (ITC)	<ul style="list-style-type: none"> • Design, install, operate and maintain mission-wide communications, including telephone, radio and data systems, proprietary information management systems; internet; intra-mission mail and diplomatic pouch service
Transport	<ul style="list-style-type: none"> • Fleet management and maintenance services
Contingency Owned Equipment (COE)	<ul style="list-style-type: none"> • Monitoring, database management and inspection of Contingency Owned Equipment
Security	<ul style="list-style-type: none"> • Provide security services to protect mission staff and assets
Integrated Training Services	<ul style="list-style-type: none"> • Provide induction briefings for all military, police and civilian staff • Support pre-deployment training by providing T/PCCs with mission specific information • Identify training needs and facilitate in-mission training; and • Act as a clearing house for out-of-mission training opportunities offered to mission staff

D. POLICE COMPONENT

Introduction

50. The role of international police in PSOs is to help establish and maintain law and order and ensure the long term capacity of the local law and order forces through monitoring, advice and training. While police and military components in PSOs often have similar goals – establishing and maintaining security and stability – it is important to note that their roles and functions are fundamentally different. The police function in PSOs is focussed on long-term capacity-building through monitoring, mentoring, training and advice. However, some PSO police actions, such as crowd control and executive policing, depending on the mandate, may contribute to short-term stabilization goals.
51. AU Police are professional police officers from any of the AU Member States, who are seconded to the AU for PSOs, in compliance with a request to Member States to contribute police personnel. AU police must have the ability to work as a cohesive team, and be able to make a transition from one assignment to another within the Police structure whenever mission requirements dictate. AU police may serve as individual experts on mission, under a multinational (AU) chain of command, or they may be members of a Formed Police Unit contributed by their government as an integral asset.
52. AU Police personnel will inevitably come from a wide variety of policing cultures. Such personnel may be general patrol officers, managers, or police specialists, and will be accustomed to different policing methods in their home countries. It is therefore essential that common AU Police standards and procedures be developed and followed. While in the mission area, all AU Police personnel are under the command of the Commissioner of Police (COMPOL) and are directly answerable to the Commissioner for their conduct and the performance of their duties¹².
53. An AU Police component may be deployed in multidimensional PSOs, at all levels and in all lines of operations to generate and implement plans that contribute to the establishment and maintenance of the Rule of Law, which is critical to building stability and economic growth in the long term.
54. While the mandate of an AU police component may change from mission to mission, most of its activities will conform with international police activities, which tend to fall under three broad categories:
 - a. *Monitoring, mentoring and advising* of local law and order forces, if they exist, to ensure that they perform their duties in a manner consistent with internationally-accepted standards;

¹² With reference to the Draft Report of the Logistics; Command, Control, Communications and Information Systems (C³IS) Workshop.

- b. *Reform and restructuring* – the development of local police infrastructure, including training of local law and order forces and agencies, as well as recruitment and mentoring functions; and
 - c. *Executive functions* – typically include powers of arrest, search and seizure, detention, crowd control and investigation. These tasks may be carried out by individual police officers, specialised units or FPUs. In such missions, FPU are a very useful primary intervention tool.
55. The police may play a significant role in the course of operations, in situations ranging from instability to stability in a PSO. Even in the most extreme circumstances, where military force is required as an intervention to stabilise a failing state or to protect the population from genocide or humanitarian disaster, among other tasks, the police should be required to advise the military, civilian components and humanitarian agencies on the contingency steps for the restoration of civil order.

Roles and Functions

54. The AU fact finding mission will provide guidance as to the precise roles and functions of AU police for any particular mission. Factors to be considered during the fact-finding phase of mission planning include: capability of local police and law enforcement agencies; the state of a rule of law infrastructure; the potential for short, medium and long term development of an indigenous police and law enforcement capacity; quantifying the demands and needs of the police component of the potential PSO; compiling reports and recommendations for political decision making; and creating initial Concept of Operations (CONOPS) for police in conjunction with other elements of the PSO. Nevertheless the roles and functions described briefly below are illustrative of the range of tasks that AU police will be expected to perform.

Police Advice

55. AU Police may provide advice at the political, strategic, operational and tactical level. At the political level, senior police advisers may be co-located with ministers, state or regional representatives and the special representatives of organisations like the UN, European Union (EU) and AU, or their offices. Their activities may include: assessments of policing capability and capacity; assessment of internal/regional security; drafting of strategic plans for police development; investigation strategies on sensitive enquiries; and contributions to national security infrastructure.
56. At the strategic level, senior police advisers may be co-located with chiefs of police or directors of other law enforcement agencies. Their activities may include advising on: the strategic direction of the organisation; addressing organisational development; and human resources strategies.
57. At the operational level, police advisers may be co-located with host nation police and other law enforcement agencies or specialist departments. Their activities may include advising on: operational strategies (e.g. patrolling, protecting, anti-terrorism capability); development of specialist capability (e.g.

riot control, forensics, and specialist investigation squads); use of formed police units; and conflict management strategies.

58. At the tactical level, police advisers may be co-located with national police units. Their activities may include advising on: patrol skills; community policing; confidence building; crime and crime scene investigation; report writing; communication procedures; receipt of complaints; detention and handling of suspects; and conflict management and negotiation skills.

Police Training

59. Police training may fall into strategic, operational and tactical levels with varying trainer skills and experience necessary in each area. Training will be aimed at inculcating democratic policing values, principles and procedures.
60. At the strategic level, the development and training of senior officers may be part of an overall strategy to improve the calibre of leadership, command and management in local law enforcement agencies. In this case, senior AU police officers with leadership and management training experience will provide the core trainer capacity. These trainers may also be called upon to assist in the establishment of appropriate training institutions i.e. police academies and training schools, including developing subject curricula and courses to international standards.
61. At the operational and tactical levels, police trainers will often be deployed in multi-disciplinary teams. These are designed to address the particular training needs identified for the national police according to international standards. The teams will also create appropriate training conditions for the delivery of training. Training may require field, mobile and temporary site training locations and activities. At this level training may include subjects such as: recruitment procedures; induction; correct use of force and firearms; driving instruction; investigation; human rights; policing violence against women and children, code of conduct; communication; and conflict management.
62. An important function in the training spectrum is that of contributing to institutional capacity-building, including training of trainers and curriculum development. Building the capacity of national police and other law enforcement agencies is essential to establishing and consolidating rule of law.

Police Monitoring

63. In many PSOs, AU police will not have executive powers and will generally be unarmed. The authorisation for their presence in the AOR is generally drawn from agreements made between conflicting parties and the AU and will be set out in the mandate of the PSO. Police mandates will usually require AU police to monitor the activities of the national police and other players, follow up on investigations, and to report to both local authorities and through the ASF channels on breaches of provisions contained within cease-fire and/or comprehensive peace agreements. The focus of the monitoring activity will sometimes be on violations by local police of International Humanitarian law and human rights standards. This is a difficult and sensitive role because,

although the police officers may not have executive powers, mission mandates often create high expectations of their ability to influence the host-nation and to police local communities.

Police Mentoring

64. In addition to programs of training or development of the national police, there is often a need for particular individuals or groups to be mentored and developed, often in their work environment. Mentoring has been shown to be a successful tool in helping individual police officers, particular senior officers or specialists, gain confidence and professional competence. Mentoring can take place whilst individuals are performing their normal duties. Police mentors work with their local counterparts, often in close proximity and on a one-to-one basis. They will often accompany their local counterparts to professional or operational events to provide immediate guidance or support as well as close observation of the individual's conduct for later feedback and influence. Mentoring is a long-term process; it requires considerable skills and experience on the part of the mentor.

Law Enforcement

65. In circumstances contemplated under UN Chapter VII and Art. 4(h) and (j) of the AU Constitutive Act, AU police may be mandated by the PSC to deploy with executive authority. Executive missions may be authorised where there is a total or a significant partial collapse of law and order institutions, or where the local police is either non-existent or ineffective. Such circumstances may include: residual result and effects of war/occupation; request from governments with significantly failing institutions for support; and/or failure of the existing government to maintain law and order or to protect its population.

66. A law enforcement role for AU police will most likely be linked to a military intervention for stabilisation purposes. Police deployment will depend on the security situation. The manner of deployment will also depend on the type of activity expected in the mission. Where a situation is still hostile, there may be a requirement to introduce formed police units to provide initial police capacity alongside ASF military.

67. Where AU police have an executive authority mandate, a key issue will be the applicable law to be enforced in the mission area. If host nation laws are considered contradictory to acceptable international legal standards, it is essential that the mission mandate and the strategic level AU leadership provide clear guidance as to the applicable law to be enforced.

Specialist Police Capabilities

Formed Police Units

68. Formed police units (FPUs), which in the ASF Policy Framework document may include elements of *gendarmerie*, are groups of police officers who are selected and trained as members of specialised units in their home countries.

FPU enter the mission area as an integrated entity with their own equipment including vehicles, communications, weapons and other specialised equipment required for their role. FPU are therefore expected to be self sustaining for a minimum period after deployment.

69. Crowd control, major incidents response, assistance to local police in the maintenance of law and order, and security of major events are some of the duties for which FPU were originally conceived. While the main body of a FPU is commonly constituted of public order police, there are also specialists attached to FPU, (e.g. forensics, criminal analysis, anti-terrorist experts, etc.) It follows therefore that in PSOs the structure of FPU and the capability they have for managing disorder and other destabilising activities makes them a very useful primary police intervention tool. Most usefully they can relieve the military in areas of policing action where there is still some potential for instability. In some ASF missions, FPU may be required to operate in close cooperation with the military. However, FPU will remain under command and control of the Commissioner of Police (COMPOL).
70. Formed police units also support other police actions in PSOs, particularly in situations where security and stability has improved, but where there is still a need for a robust policing response to assist in the maintenance of law and order.

Recommendation

- 71. The AU PSOD shall undertake a study to determine the equipment and logistical needs of the police component in AU PSO, including formed units, and on the basis of its findings, harmonize the logistics system envisaged for the military component with that of the civilian and police components.**

Use of Force and Firearms

72. Regardless of whether or not they have law enforcement responsibilities, the security situation could dictate that AU Police may sometimes be armed, in accordance with the decision of the mandating authority (PSC). While military PSO forces are issued with clear rules of engagement (ROE), the use of force and firearms by AU Police will be governed by more stringent international instruments and standards. For each mission where AU police are deployed with arms, the AU PSOD will issue clear policy directives regulating the use thereof.

Strategic-Level AU Police Structures

73. The ASF Policy Framework document clearly stipulates that the police component is an integral part of multidimensional PSOs. As such, it is necessary that policing issues and the mission of the police component become an integral part of the policy, planning and mission management structures of the AU and ASF at all levels.
74. Similarly, the PLANELM at AU headquarters shall include at least one senior police representative and an appropriate number of officers, who shall also participate in the Integrated Planning Task Force (IPTF) and other strategic level planning forums.
75. There shall also be senior police participation in every Mission Task Force (MTF) that is established, whenever the mandate of the mission requires a policing role.

Recommendation

- 76. At the level of the AU PSOD, a Commissioner of Police shall be appointed. The AU Commissioner of Police will serve as the principal advisor to the Chairperson of the Commission on all policing matters. S/he will also be the head of an appropriate police policy, planning and mission management team that will serve within the PSOD.**

Mission-Level AU Police Structure

77. The most senior police officer in an AU PSO is the Commissioner of Police (COMPOL). The Commissioner of Police reports to the SRCC and has an indirect reporting line to the AU Commissioner of Police in the PSOD.
78. The Commissioner of Police will nominate AU police officers to provide support to, or serve in, the Mission Operations Centre (MOC), Mission Analysis Cell (MAC), Mission Planning and Evaluation Cell (MPEC), Mission Logistic Centre (MLOC), and other such integrated bodies.
79. The AU police organisation at mission HQ level will be determined by the mandate. However, the basic mission HQ structure may include:
 - a. Office of the Commissioner of Police (COMPOL)
 - b. Deputy Commissioner of Police (D/COMPOL)
 - c. Chief of Staff
 - d. Chief of Personnel and Administration
 - e. Chief of Operations
 - f. Chief Liaison Officer

g. Chief of Logistics

80. The functions and responsibilities of each of the key mission HQ, regional and sector police staff will be spelled out in detail in the ASF SOPs.

E. ENABLING SYSTEMS

Introduction

81. This section address the enabling systems that need to be in place in order for the mission management structures, police and other civilian components to be fully integrated into AU multidimensional PSO structures and the ASF.

Policies and Procedures

82. This Policy Framework on the Civilian Dimension of the ASF builds on the work already undertaken by the AU in the context of the overall development of the ASF system. This includes a series of policy documents, namely the ASF Policy Framework, the draft Vision 2010 discussion document and the ASF Roadmap. And it also includes a number of ASF documents such as the ASF Doctrine, Standard Operating Procedures (SOPs); Logistics; Command, Control, Communications and Information Systems (C³IS) and Training and Evaluation draft reports generated by a series of technical expert workshops undertaken in 2005 and 2006. This Policy Framework has attempted to use the same terminology, systems and structures where possible, but its focus on the police and other civilian components have also necessitated some innovation and occasionally attempted to clarify specific structural arrangements. As a result, harmonization will be required between this Policy Framework and some of the work that has already been undertaken in the military, police and civilian context.
83. The AU PSOD shall undertake a harmonization exercise to ensure that the policies envisaged for the military, police and civilian components of the ASF are coherent and appropriately balanced, and shall revise the ASF Policy Framework accordingly.

Recommendation

- 84. The AU PSOD shall develop an implementation plan that will identify a timeline for operationalising the various action steps contained in the Policy Framework.**

Human resources

Standby Rosters, Recruitment & Deployment

85. Whilst military and police peacekeepers are serving members of their respective national defence and police forces, temporarily deployed to the AU for a specific period, civilians can be recruited in a number of ways and their deployments can last as long as the life of the mission itself. Civilian mission personnel can be serving staff of the AU Commission seconded to the mission, they can be civil servants working for an AU Member State or a Regional Mechanism that is seconded to the AU for the mission, or they can be individuals directly hired by the AU on a contract basis. In order to make optimum use of all these possible recruitment avenues the AU shall make use of the following three-tiered mission staffing structure for deploying civilian staff to AU PSO.
86. In the first tier, the AU shall make use of existing staff to undertake mission assessments and to staff core positions within a start-up mission headquarters. Making use of existing AU staff has various advantages. AU staff with existing contracts should be able to be deployed in a very short period of time, and they are already familiar with AU policies and procedures in their specialised field. AU staff procedures shall be modified to enable such deployments to field missions to occur.
87. The second tier shall consist of an AU PSO civilian standby roster, and/or a series of interlinked Regional Mechanism PSO standby rosters, that can be used to identify and recruit civilian staff for AU PSOs. The AU PSOD shall encourage coordination and inter-linkages between the civilian standby rosters, the African Peace Support Trainers Association (APSTA) and other training service providers.
88. The third tier would be normal recruitment of individuals directly by the AU. Vacancies would need to be advertised for a given period, qualifying candidates need to be selected, their information verified, short-listed, interviewed, contracted and finally deployed.
89. The AU PSOD should aim at achieving to achieve approximate coherence between UN and AU conditions of service to ease the transition of staff between UN and AU missions.

Recommendation

90. **The AU PSOD shall undertake a work study on the basis of the provisions of section B - Multidimensional Management Structures and Processes, and related ASF guidelines, in order to determine the number and categories of personnel that will be needed at the AU PSOD to ensure that it has the capacity to execute its mandate.**
91. **The AU PSOD shall explore the establishment of a Rapid Deployment System, similar to that of the Department of Peacekeeping Operations (DPKO), with a view to deploying a start-up mission headquarters with**

core military, police and civilian functions for a period of 60 to 90 days¹³. Such a rapid deployment capacity will give the AU's normal recruitment system time to hire a fuller complement of replacement civilian HQ staff.

92. The AU PSOD shall develop, or outsource the development of, an AU PSO civilian standby roster that will consist of existing civil servants of AU Member States, Regional Mechanisms, other African intergovernmental bodies and civil society¹⁴. Such a standby roster shall seek to develop standard pre-agreements with Member States and other institutions to release their staff for AU PSO, so as to ensure the shortest possible time between recruitment and deployment.

93. The AU PSOD shall develop generic job descriptions and vacancy announcements for those civilian functions discussed in Section C – Civilian Components, and the PLANELM shall develop a series of generic HQ and Sector HQ staffing tables for different mission scenarios to aid budgetary planning and the rapid deployment of mission staff.

94. The AU PSOD shall undertake a study to determine whether the existing AU human resources processes are adequate for the recruitment, selection, evaluation, leave and wellbeing of AU PSOs mission staff, or whether additional policies and procedures need to be put in place to manage the recruitment and deployment of civilian staff for AU PSOs.

Gender Mainstreaming

95. The Protocol to the African Charter on Human and Peoples Rights on the Rights of Women in Africa (2003), and the AU Heads of State and Government Solemn Declaration on Gender Equality in Africa commits African Government and civil society, amongst others, to protect and respect the rights of women in situations of armed conflict. In addition, the Security Council Resolution 1325 on women, peace, and security (2000) spells out the need for integrating a gender perspective and ensuring women's participation in all decision-making processes throughout all stages of armed conflict and

¹³ The UN Department of Peacekeeping Operations (DPKO) has set up civilian Rapid Deployment Teams among its HQ staff. The supervisors of the staff on the Rapid Deployment Teams agree in advance to release them for temporary duty on mission assessment teams and to initiate and support a field operation. The effectiveness of the DPKO Rapid Deployment Teams stems from the fact that they are comprised of serving UN staff members that have been pre-selected and cleared. DPKO has also introduced an incentive in that HQ staff are required to go on mission from time to time in order to be promoted, and there is an agreement that staff can return to their original HQ positions if they return within a specific time period. This roster system has increased DPKO's capacity to rapidly deploy a civilian headquarter component.

¹⁴ One such example is the Southern African Civilian Stand-by Roster for Humanitarian Relief and Peacekeeping Missions (SAFDEM). In October 2003, the Norwegian-funded Training for Peace (TfP) programme and SAFDEM entered into a Memorandum of Understanding (MoU) providing for a mutually supporting relationship where TfP provides training for civilian specialists and SAFDEM provides and maintains a Civilian Stand-by Roster for those that have been trained. The SAFDEM roster is currently maintained at about 250 trained and pre-screened candidates.

recovery. The AU instruments and this UN Resolution call for the inclusion of women and gender perspectives at all levels and in all areas of conflict prevention, conflict resolution, peacekeeping, and peacebuilding.

Recommendation

96. The AU PSOD shall ensure that the recruitment and management processes of the mission management team, and the military, police and other civilian components, strive to attain gender mainstreaming and gender sensitivity in order to facilitate realisation of the gender equality principle of the AU and to enhance the operational impact of its PSOs. The AU shall develop a gender responsive human resource policy to guide the recruitment and management of AU field missions.

Conduct and Discipline

97. The AU must ensure that the ASF is well-disciplined, and that its members uphold the highest standards of conduct. The recent exposure of conduct and discipline problems, including Sexual Exploitation and Abuse (SEA), by peacekeeping and peacebuilding personnel in Africa has been particularly damaging to UN peacekeeping. The AU should learn from the steps that the UN has subsequently taken in the form of adopting clear and robust policies, disseminating those policies to Member States and ensuring they are understood through training and public information campaigns in missions, monitoring the behaviour of its staff in the field, and empowering missions to act by providing them with the means to investigate complaints and act on their findings with a range of disciplinary steps.

98. The policy should also consider the responsibility of the AU for taking proactive steps to create a work and social environment that is sensitive to the unusual and stressful working conditions of mission staff. Such proactive steps can include appropriate leave policies, opportunities for counselling, and access to facilities for entertainment, exercise, and communication with family and friends.

Recommendation

99. The AU PSOD shall develop a comprehensive policy on Conduct and Discipline, including a clear definition and policies on Sexual Exploitation and Abuse (SEA). Such policies shall include the development and dissemination of an AU Code of Conduct, amongst others through training, as well as developing mechanisms for investigation and disciplinary procedures.

Mission Support and Logistics

100. The AU PSOD shall undertake a Multidimensional Mission Support Study that will consider the mission support and logistics needs of the mission management structure, as well as the military, police, substantive civilian and mission support components, and develop an overall, integrated mission support system.
101. The Study shall, amongst others, consider the appropriateness of existing AU procurement, financial and related rules and regulations for AU PSO. On the basis of its findings, the Study should make recommendations for AU PSO procurement, financial and related rules and regulations. The Study should consider putting in place a number of pre-agreed standard contracting agreements for commonly used logistic supplies that can be brought into play at short notice to enhance rapid deployment and mission start-up capacity.

Recommendation

- 102. The AU PSOD shall undertake a Multidimensional Mission Support Study that will consider the mission support and logistics needs of the mission management structure, as well as the military, police, substantive civilian and mission support components, and develop an overall, integrated mission support system.**

Training Requirements

103. The AU PSOD shall facilitate, in consultation with African and partner training institutions, the development of a system of generic-, pre-deployment, specialised- and in-mission training services for AU PSOs. Such a system will be aimed at ensuring that military, police and civilian peacekeepers have been appropriately prepared for deployment and will be fully operational once deployed in as short a time as is possible.
104. The training of military, police and civilian peacekeepers shall be undertaken by Member States and Regional Mechanisms, in collaboration with regional peacekeeping training centres, NGOs and partners.
105. The AU PSOD shall facilitate the development of AU training standards and guidelines for its PSOs staff, and it shall facilitate the accreditation of training centres, and/or the recognition of training courses, that provide training according to AU standards and guidelines.

106. The AU PSOD shall ensure that there is a training function at the AU PSOD, as well as in each mission, and that each mission provides adequate induction briefings for all new military, police and civilian staff.

107. The AU PSOD shall undertake the AU PSO TNA Study in close cooperation with the African Peace Support Trainers Association (APSTA).

Recommendation

108. The AU PSOD shall undertake an AU PSO Training Needs Analysis (TNA) Study to determine the level and standard of training military, police and civilian peacekeepers need to undergo prior to, and during deployment in AU PSOs.

Best Practices

109. The AU PSOD shall take steps to manage the institutional memory generated by such studies and take steps to improve future PSO through the implementation of those recommendations adopted by the AU.

110. The AU PSOD shall ensure that mechanisms for capturing lessons identified and best practices is established in each AU PSO, amongst others at the level of the Mission Planning and Evaluation Cell (MPEC). And that the PSO has the necessary processes in place for transforming such knowledge into practice, as well as for sharing that knowledge with the AU PSOD.

Recommendation

111. The AU PSOD shall undertake, or commission, studies that will capture lessons identified and best practices during all phases of an AU PSO, and at all levels, including at the level of the AU Commission.