

African Union Police Component  
Peace and Security Department  
African Union Commission  
Ref:



# **POLICY FOR INTERNATIONAL POLICING IN AFRICAN UNION PEACE SUPPORT OPERATIONS AND SPECIAL OPERATIONS**

## **African Union Police**

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## **A. INTRODUCTION**

1. In its report dated 10 December 2013, the Independent Panel of Experts for the Assessment of the ASF and Plan of Action for Achieving Full Operational Capability by 2015 (Gambari Report), the Panel recommended for the African Union Commission to convene a meeting of African Chiefs of Police (ACOP) to define the role of the police in Peace Support Operations and the African Standby Force (ASF). This recommendation was out of the Panel's findings and observations regarding the lack of understanding of the roles and responsibilities of the police, as well as the structural challenges (policy, weak capacities, structure, perceptions and practices) being experienced by the police in all the regions. Pursuant to the implementation of the recommendations to address these challenges, the AU Commission developed this Policy for International Policing in Peace Support Operations (PSO) and Special Operations (SO) that are mandated or authorized by the Peace and Security Council (PSC) of the African Union (AU) or the Assembly of Heads of State and Government of the AU (Assembly). The AU Commission also convened a meeting of ACOP, which endorsed the draft Policy for International Policing in PSO and SO (Policy) at its meeting held on 14 December 2015 in Algiers, Algeria.
2. Peace, security and stability are the cornerstones of development and the harmonious co-existence of all people of Africa, as underscored in the objectives of the Constitutive Act of the African Union (AU), African Peace and Security Architecture (APSA), African Governance Architecture (AGA), the solemn pledges of the 50<sup>th</sup> Anniversary Solemn Declaration by the Assembly of AU Heads of State and Government and the aspirations spelt out in the continental blueprint Africa Agenda 2063 for the Africa we want. These objectives, principles and aspirations are the foundations upon which the AU Police principles, vision, mission, core values and ethics of the African Union Police (AUPOL) shall be rooted, for enhanced and sustainable peace, public safety and security, stability, the rule of law including access to justice and protection under the law, democratic governance, human rights and development of Africa. [SEP]
3. Acting in terms of the provisions of Article 5 (2) of the Constitutive Act, the African Assembly Union adopted the Protocol Relating to the Establishment of the Peace and Security Council of the African Union (Protocol) to establish the Peace and Security Council of the African Union (PSC) as a standing decision-making organ for the prevention, management and resolution of conflicts in Africa and also as a collective security and early warning system to facilitate timely and efficient responses to conflict and crisis situations on the continent.
4. Article 7 [1] (d) of the Protocol requires the PSC, in conjunction with the Chairperson of the AU Commission (AUC), to lay down general policy guidelines for the conduct of PSO and SO, including the mandate thereof, and undertake periodic reviews of these guidelines.

5. Article 13 of the Protocol provides for the establishment of an African Standby Force (ASF) as a tool that enables PSC or the Assembly of Heads of State and Government of the African Union (Assembly) to perform their responsibilities with respect to the deployment of peace support missions and interventions pursuant to Article 4 (h) and (j) of the Constitutive Act. The ASF shall comprise multi-disciplinary contingents, which are essential to facilitate a multi-dimensional approach to addressing complex political, security, international policing and rule of law issues and humanitarian challenges in order to achieve sustainable peace in conflict and post-conflict areas.
6. Article 16 of the Protocol defines the relationships among the Regional Mechanisms (RMs/RECs) and Regional Economic Communities (RECs), the PSC and the AUC for the prevention, management and resolution of conflicts. The RMs/RECs are part of the overall security architecture of the Union, which has the primary responsibility for promoting peace, security and stability in Africa. In this respect:
  - a. The PSC and the Chairperson of the AUC are required to harmonise and coordinate the activities of the RMs/RECs in the field of peace, security and stability, to ensure that their activities are consistent with the objectives and principles of the AU;
  - b. The PSC and Chairperson of the AUC are required to work closely with RMs/RECs to ensure an effective partnership between them and the PSC in the promotion and maintenance of peace, security and stability. The modalities of the partnership shall be determined by the comparative advantages of each and by prevailing circumstances;
  - c. The PSC, in consultation with the RMs/RECs, has a responsibility to promote initiatives aimed at anticipating and preventing conflicts and, in circumstances where conflicts have occurred, support peace-making and peace-building functions.
7. The number and complexity of intra-state conflicts on the African continent has increased and is often coupled with organised transnational threats. As a result, the role of the police and police mandates in PSO and SO has evolved in both scale and scope. It has moved gradually from traditional peacekeeping primarily through passive observation/monitoring to a contemporary approach of supporting the capacity development of national police and law enforcement organisations, as well as protection of civilians and vulnerable groups of society.
8. In undertaking various measures and initiatives to enhance peace, security and stability in Africa the AUPOL shall cooperate with the RMs/RECs, the United Nations (UN) and other international partners. In this regard, Article 3 (e) of the Constitutive Act and Articles 7 (k), 13 (16), 16 and 17 of the Protocol underscore the strategic importance of the partnership and of international cooperation amongst the RMs/RECs, the UN and the AU in the area of peace and security. The AU is encouraged by the historic adoption of United Nations Security Council Resolution (UNSCR) 2185 (20 November 2014, S/RES/2185), which spells out the role of policing in UN peace operations.
9. In order to address the structural challenges facing the police, empower them and optimally leverage their significant comparative advantage towards the maintenance

of international peace and security in Africa, within the framework of the African Peace and Security Architecture (APSA), the African Governance Architecture (AGA) and the continental blueprint Africa Agenda 2063 for the Africa we want and the solemn pledges of the 50<sup>th</sup> Anniversary Solemn Declaration by the Assembly, the Chairperson of the AU Commission is required to formulate appropriate policies, guidelines, standard operating procedures and other issuances, to provide strategic guidance for the deployment, employment, management, operations and administration of the AU Police and international policing in AU PSO and SO.

**B. PURPOSE**

- 10.** The purpose of this Policy is to provide a strategic legal, operational and administrative framework for international policing in AU PSO and SO mandated or authorized by the Peace and Security Council of the African Union or the Assembly of Heads of State and Government of the African Union. Within the scope of the African Peace and Security Architecture (APSA) and African Governance Architecture (AGA), the Policy spells out the vision, mission, core responsibilities, core values, structures, chain of command and control, code of conduct, code of ethics and conditions of service of the AUPOL officers and the principles for standardisation of its programmes, projects and activities.
- 11.** The Policy is designed to guide AUPOL Officers deployed as Police Professional Staff (PPS) members, Individual Police Officers (IPOs), Formed Police Units (FPU) and Specialised Police Teams (SPTs) in the execution of their duties, responsibilities, functions and activities in furthering the rule of law including access to justice and public safety in PSO and SO.
- 12.** The Policy further serves as a guide to Member States (MS) and Police Contributing Countries (PCCs) in creating a common understanding of the AUPOL in order to ensure and maintain minimum standards in the identification, preparation, employment conditions of service and post-employment of PPS members, IPOs, FPU and SPTs for deployment to PSO and SO and AU Headquarters. By defining the core roles and responsibilities, fundamental principles and conditions of service, the Policy guides the preparation, pre-assessment and planning processes of PCCs, as well as informing other stakeholders and mission components of the added value of the AUPOL, their contributions and the support needed in order to implement and deliver on their mandated tasks.
- 13.** The Policy provides the context and lays the foundations for subsequent formulation of the necessary Guidelines and Standard Operating Procedures (SOPs), which will provide greater detail to guide and regulate the AUPOL's preparation, operations, administration, legal training, code of conduct and deployments.
- 14.** The Constitutive Act and the Protocol shall take precedence over this Policy. However, the Policy shall be the key referral document for the formulation of all Guidelines, SOPs and Directives and other guidance instruments for the AUPOL's international policing functions and responsibilities in PSO and SO.

**C. SCOPE**

15. This Policy is applicable to all categories of personnel within the AU Commission Headquarters and AUPOL components in AU PSO and SO as well as other Departments and Divisions of the AU Commission in relation to their roles and responsibilities in supporting the AUPOL, as provided for in this Policy and other governing instruments of the AU Commission.
16. The Policy applies to all AU MS, PCCs and RMs/RECs with regard to their contribution and preparation of police personnel and other resources for deployment and service in AU PSO and SO.

**D. RATIONALE**

17. The primary rationale behind this Policy is to enhance the management, command, operational and administrative efficiency and effectiveness of the AUPOL at strategic and mission operational levels through a consistent, structured, standardised and harmonised approach in the implementation of international policing mandates in PSO and SO.
18. While the police are not specifically mentioned in the Protocol, the reference in Article 13 (1) of the Protocol to 'multi-disciplinary contingents' in peace support missions and peace-building clearly underscores the critical necessity, requirement and importance for a multidimensional approach that includes policing and other initiatives, of conflict prevention, management and resolution. This Policy seeks to provide clarity on the roles and responsibilities of the police and international policing in PSO and SO and to address any gaps in order to enhance the AUPOL's ability to discharge its duties and responsibilities in AU PSO and SO, as well as its participation in AU decision making processes and structures on the maintenance of international peace and security in Africa.
19. A conceptual framework is essential for the AUPOL Component if it is, as a substantive player, going to play its part in an integrated fashion and contribute to conflict prevention, peace making, stabilisation, early recovery, post conflict reconstruction and development towards sustainable peace. As the role of the AUPOL continues to become more important it must be provided with clear policy guidelines to facilitate its fulfilment of specific international policing mandates as well as broader peace and security responsibilities in Africa.
20. AUPOL officers frequently work in unfamiliar situations unrelated to their domestic policing environments. They must navigate among the variety of international policing approaches of colleagues from many different countries and agencies. Therefore, clear directions and guidance and an overarching policy that is responsive to international policing environments are essential to ensure harmonisation and standardisation of systems and approaches.

21. This Policy emphasises the added value of the AUPOL and international policing to PSO and SO, and provides guidance on the roles and responsibilities to be assigned to AUPOL Officers. The policy sets out the framework and pre-conditions critical to determine the activities of AUPOL officers in implementing their policing mandates. This is essential for the prioritisation and sequencing of activities when time or resources are limited.

#### **E. THE AFRICAN UNION POLICE DEFINED**

22. **African Union Police (AUPOL)** is the African Union Police Component including the ASF Police pledged capabilities, employed in the service of the African Union in the AU Headquarters, PSO and SO that are mandated or authorized by the Peace and Security Council of the AU or the Assembly of AU heads of State and Government.
23. **Vision:** The Vision of the AUPOL is to provide the highest quality international policing services in support of sustainable peace, security and development in Africa.
24. **Mission:** The AUPOL exists as a continental multi-national policing entity of the African Union, dedicated to delivering quality international policing services for the protection of civilians, law enforcement where mandated and capacity building of the police and other law enforcement institutions of Host States, to contribute towards enhanced rule of law, access to justice, good governance, sustainable peace and development.
25. **Core Values:** Inspired by and derived from the objectives and principles of the Constitutive Act, the Core Values of the AUPOL are:
- Integrity
  - Professionalism
  - Accountability
  - Respect for diversity
  - Respect for the rule of law
  - Respect for human rights

#### **F. ROLES AND RESPONSIBILITIES OF THE AUPOL COMPONENT AT AU HEADQUARTERS**

26. Under the leadership of the Chief Police Adviser, the roles and responsibilities of the AUPOL Component at the AU Headquarters in Addis Ababa shall be to:
- 26.1 Ensure the implementation of AU legal, policy and operational framework guidance on sustainable peace, safety, security, stability, governance and development, including the Constitutive Act, the Protocol, Africa Agenda 2063 for The Africa We Want, the 50th Anniversary Solemn Declaration of the African Heads of State and Government;
- 26.2 Provide substantive expert advice to the African Union Commission leadership on all issues relating to the police and international policing in PSO and SO field missions, the



rule of law, protection of civilians and other vulnerable groups of society, access to justice, public safety, public order management, police capacity building within the context of post conflict reconstruction and development and security to facilitate decision-making;

- 26.3** Coordinate, spearhead and facilitate the participation of the police in AU decision making processes and structures on the maintenance of international peace and security in Africa and to leverage of the comparative advantage of the police and policing in the prevention, resolution and management of conflict, post conflict reconstruction and development, defending and upholding the rule of law and human rights, public safety and protection of civilians;
- 26.4** Plan, develop and coordinate the implementation capacity building and development training packages for police capabilities in Africa, for AU PSO and SO field missions mandated or authorized by the Peace and Security Council of the AU or the Assembly, including field training, mapping, command post and pre-deployment training exercises.
- 26.5** Design and maintenance of an updated roster of all categories of police personnel that have been assessed and selected for service in PSO and SO or have served in previous PSO or SO.
- 26.6** Create policy and guidance and defining the parameters of international policing in AU PSO and SO field missions. This entails the development of various policies, guidelines, standard operating procedures, directives and other issuances to facilitate AU police command, management, leadership, operations, administration, recruitment and selection, training, conduct and discipline and mandate implementation.
- 26.7** Provide technical advice, strategic oversight to the AU Police Components of AU PSO and SO field missions, to facilitate achievement of the police objectives and tasks under the relevant mission mandates;
- 26.8** Set and update benchmarks to continuously enhance recruitment, selection, deployment and rotation of highly qualified staff in PSO and SO field missions and increasing the number of female officers in the AU police.
- 26.9** Develop new and enhance current partnerships for more effective delivery on its roles and responsibilities, PSOD and SO mandates, growth and development of the AU police.

- 26.10** Coordinate and actively participate in the planning, organisation and execution of all pre-deployment and post deployment assessments for current and future PSO and SO as well as making police inputs to the reports of the Chairperson of the AU Commission to the Peace and Security Council of the AU, the Assembly or other Organs of the African Union;
- 26.11** Coordinate, advise and assist MS and RMs/RECs in their efforts to prepare pledged police standby capabilities for selection and service in AU PSO and SO in line with this Policy, Guidelines and SOPs;
- 26.12** Establish and sustain close coordination, collaboration and communication with all Police Contributing Countries to AU PSO and SO;
- 26.13** To plan, organise and coordinate all human and physical resource processes and procedures towards the effective functioning of AUPOL components in field missions;
- 26.5** Task, coordinate and manage the AU Police Strategic Support Group (PSSG), as well as render secretariat and administrative support necessary for the efficient and effective functioning of the PSSG.

## **G. ROLES AND RESPONSIBILITIES OF AUPOL COMPONENTS IN PSO AND SO**

- 27.** The roles and responsibilities of AUPOL in PSO and SO are determined by the relevant mandate as decided by the PSC or Assembly. However, in broad generic terms, those roles and responsibilities fall into any or all of the following categories:
  - 27.1** *Peace Support Operations:* Operational support/interim executive policing and other law enforcement. This entails the delivery of, when mandated, effective prevention, detection and investigation of crime, protection of life and property, the maintenance of public order and provision of public safety.
  - 27.2** *Peace support operations and Post Conflict Reconstruction and Development:* Provision of support for the reform, restructuring and rebuilding of host State police and other law enforcement institutions. This support is designed to develop effective host State police and other law enforcement institutions' capacity to provide representative, responsive and accountable police service of the highest possible professional standard.
  - 27.3** *Special Operations:* Provision of policing services and support for special political missions, to facilitate the implementation of peace agreements or to observe and monitor the political and security situation in the Host State, as mandated. The AU police will also provide, as mandated, policing support for humanitarian action and disaster response and management efforts. The AU police will assist in the

maintenance of public order and public safety that will ensure that other actors will be able to carry out their duties and responsibilities without hindrance or security risks.

**27.4** In discharging these roles and responsibilities, the AU police shall perform, as mandated, any or all of the following functions in the Host State of the PSO or SO:

27.4.1 Deliver effective policing services for the prevention, detection and investigation of crime and arrest offenders. This function usually applies in executive mandates where the AU police are given powers of arrest.

27.4.2 Protect and secure the lives and property of the people.

27.4.3 Restore, promote and preserve public order, public safety and maintenance of law and order. The AU police will be required to undertake such operations, independently or jointly with Host state police, to reassure communities and reduce the fear of crime, including armed or violent crime.

27.4.4 Collaborate closely with Host State police and other law enforcement institutions, civil society organizations and stakeholders and take all necessary policing measures to prevent and end impunity especially in situations of genocide, human rights violations, war crimes and crimes against humanity, allowing for the rule of law and access to justice for victims of abuse or violation.

27.4.5 Protection of civilians within mission mandated contexts. As mandated, the AU Police will take necessary measures to protect civilians especially vulnerable groups of society such as victims of crime, internally displaced persons, returning refugees, victims of armed conflict, genocide, ethnic cleansing or witnesses in crime investigation.

27.4.6 Provide operational support to Host State police and other law enforcement institutions to re-establish police services and functions for public safety, extend state authority. In almost all post conflict situations the police are the forerunners in the restoration of civil authority. The AU police will be called upon to facilitate security conditions for the re-establishment of civil authority to provide much needed public goods and services to the communities.

27.4.7 Provide security support for the electoral process before, during and after balloting. The AU police will be required to assist the Host state police and other law enforcement institutions to plan, assess, analyze, deploy and provide safety and security service that is conducive for lawful political activities, the actual voting process and security for electoral officials.

27.4.8 Support for criminal and security intelligence. The AU police will undertake such criminal and security intelligence operations in support of the implementation of the PSO mandate and the overall peace process, to detect and frustrate imminent threats to AU personnel and facilities or, threats against the citizens or Government of the Host State and members of the international community.

27.4.9 Support for combatting serious and organized crime in a collaborative approach. Conflict creates conducive conditions for unchecked criminal activities, including serious and organized crime, since the law enforcement institutions would have collapsed or so incapacitated as to be unable to provide internal security or contain crime. The AU police will be called upon to assist in combatting serious and organized crime, which might actually perpetuate the conflict in some instances. This support may include building capacity of Host State to deal with serious and organized crime, cooperating with national, regional and internal entities in the fight against serious and organized crime.

27.4.10 Provide institutional and human capacity building and development support to Host State police and other law enforcement institutions, as mandated. The AU police will usually co-locate with the Host State police at strategic, operational service delivery and training levels. The overarching objective of this support is to create a professional, proactive and responsive Host State police or other law enforcement institutions that are accountable to the people for delivery of a professional and satisfactory police service, accountable to the law for their operations and accountable to the state for use of public resources. To achieve the desired results and impacts, the AU police will need to conduct the following activities and functions:

27.4.10.1 Comprehensive assessment of police services, capacities, capabilities and infrastructure, to determine appropriate interventions;

27.4.10.2 Strategic advisory support for reform and restructuring to the leadership of Host State police and other law enforcement institutions;

27.4.10.3 Census identification and bio-data registration of all Host State police and other law enforcement institutions;

27.4.10.4 Vetting, selection, registration and certification;

27.4.10.5 Training in all aspects of police science including management, command, operational, basic and specialized training, on the job mentoring at points of police service delivery, as well as development of police institutional management systems, policies, strategies and procedures;

27.4.10.6 Development of instruments of governance and accountability; and

27.4.10.7 Support national efforts for resource mobilization and infrastructure development.

27.4.11 Defend, protect, observe and promote human rights. Monitor, report and prevent human rights violations. In conflict situations, human rights violations tend to escalate due to inability of the state to exercise its primary responsibility and authority to protect citizens against human rights violators. The AU police will uphold and defend international human rights law and international humanitarian law. The AU Police will carry the international mandate to monitor, prevent and report human rights situation in the Host State. The AU police will also undertake practical measures

to assist and capacitate the Host State police and other law enforcement personnel to respect and uphold human rights in all their operations and activities.

- 27.4.12 Support to humanitarian action support efforts. The AU police will be required to facilitate access for delivery of humanitarian aid, usually through the provision of security escorts, protection of humanitarian aid, planning and coordination with humanitarian actors in the mission area.
- 27.4.13 Support response and management efforts. The AU police will be expected to provide support to the Host State police and other actors in the event of disasters such as outbreaks of disease epidemics, floods, drought and famine, earthquakes, volcano eruption, landslides and others. This support is usually delivered in the form of public order management to prevent and stop looting or riotous mobs, evacuations, movement control, security checks and screening, documentation of missing or dead persons, medical, communications, transport, tracing or missing persons.
- 27.4.14 Observe and monitoring peace agreements or conflict situations. The AU police will be deployed to political missions to observe and report ceasefire peace agreements or fragile political and security situations that have the potential to degenerate into open conflict. The AU police will also be deployed to observe or monitor and report on Host State police elections security processes, activities and operations. Where the Host State police has no capacity to provide security for the electoral process, the AU police will be required, if mandated, to support the Host State police to provide security for the electoral process before, during and after the voting exercise.
- 27.4.15 Coordination with other AU actors and AU development partners. In implementing the various PSO and SO mandates in the Host State, the AU police will adopt a collaborative approach to synergize efforts with other components of the PSO or SO, Host State police and other law enforcement institutions and officials, other national rule of law institutions, international actors, civil society organizations, the media, women's organizations, youth organizations, child protection organizations, religious organizations, disabled people organizations, representatives of business organizations, community opinion leaders, regional and international organizations that deal with matters of policing or the rule of law.
- 27.4.16 Protection of AU personnel and facilities. The entails provision of security escorts, screening, security checks and movement and access control.
- 27.4.17 Compliance and implementation of all AU and AU police legal, policy, operational and administrative framework documents such as mandates, policies, guidelines, standard operating procedures, directives, instructions and other issuances directives, for effective direction, accountability, administration and operations of the AU Police Components serving in AU PSO and SO.

## **H. COMPOSITION, STRUCTURE AND CATEGORIES OF AUPOL**

**28.** The AUPOL shall consist of the following:

**28.1** The AUPOL Component within the AU Headquarters in Addis Ababa,

**28.2** AUPOL Components in PSO and SO field missions, and

**28.3** Police Pledged Standby Capabilities in MS.

**29.** The composition and structure of the AUPOL are directly linked and aligned in order to achieve its Vision and Mission and to deliver on its Roles and Responsibilities under this Policy.

**30.** Within the AUPOL, there are four main categories of police personnel, namely:

**30.1** Police Professional Staff (PPS) member

**30.2** Individual Police Officers (IPOs)

**30.3** Formed Police Units (FPUs)

**30.4** Specialised Police Teams (SPTs), as an integral part of IPOs or FPUs.

## **31. ORGANIZATION OF THE AUPOL COMPONENT AT AU HEADQUARTERS**

**31.1** The Chairperson of the AU Commission shall design the organisational structure of the AUPOL Component at the AU Headquarters in Addis Ababa, Ethiopia. In broad terms, the AUPOL Component at AU Headquarters shall comprise the office of the Chief Police Adviser, Deputy Chief Police Adviser and such other units whose functions shall be related to police capability development including recruitment assessment and selection, police strategic policy, ethics and oversight, police mandate implementation and mission management and a corresponding support and administrative element.

**31.2** The AUPOL organisational structure at the AU Headquarters shall be fit-for-purpose to:

**31.2.1** Enhance police visibility and impacts at the continental and regional levels;

**31.2.2** Empower the police to grow and develop in a manner that capacitates it to deliver on its roles and responsibilities in terms of this Policy

**31.2.3** Enable the AU and its regions to leverage the comparative advantages of the police and policing in the maintenance of international peace and security;

**31.2.4** Facilitate delivery of its roles and responsibilities in terms of this Policy and the full and active participation in AU decision making processes and structures on matters regarding the maintenance of international peace and security in Africa;

**31.2.5** Enhance AU Police command and leadership, ethics and identity;

**31.2.6** Facilitate effective management, command, control, coordination and supervision as well as capacity building and development of AUPOL officers at all levels;

**31.2.7** Facilitate effective standardisation, administration and guidance aimed at facilitating and implementing AUPOL's prescribed roles and responsibilities in PSO and SO under

this Policy, while taking into consideration the various approaches dictated by the requirements and demands of specific PSO and SO environments and mandates.

**31.3** There shall be a Chief Police Adviser (CPA) responsible for the following;

- 31.3.1 Provide substantive advice to the AU leadership on all matters concerning the police and international policing, public safety and access to justice within the framework of the rule of law and good governance in PSO and SO field missions that are mandated or authorized by the PSC or the Assembly,
- 31.3.2 Overall coordination, management and control of all AUPOL officers and experts at AU Headquarters;
- 31.3.3 Provision of strategic and technical guidance and support to Heads of Police Components in AU Headquarters and PSO and SO field missions.
- 31.3.4 Ensure that the development of the relevant or required strategic guidance materials such as guidelines, SOPs, directives, compliance and implementation of relevant AU policy frameworks.
- 31.3.5 Coordinate with all policing bodies established to deal with police and international policing for peace operations and special operations in particular and day-to-day policing in Africa in general, and
- 31.3.6 Coordinate PSSG works and activities.

**31.4** Policing is a function of governance, public safety and the rule of law. Within the AU Commission, policing is a function can be located within the functional responsibilities of the Department of Peace and Security, Department of Political Affairs and Department of Social Affairs. In this regard, the CPA shall report to the Chairperson of the AU Commission through an existing office or some other office that may be established within the AU Commission in Addis Ababa, to deal with issues of the rule of law and public safety, within the framework of AGA and APSA. A Deputy Chief Police Adviser (DCPA) and other core and support staff shall support the CPA.

**31.5** The employment grade of the CPA shall not be lower than the highest employment grade of a current or previous employment grade of a Head of Police Component in PSO or SO field mission.

**32. ORGANISATION OF AUPOL COMPONENTS IN PSO AND SO FIELD MISSIONS**

**32.1** The organisational structure of the AUPOL Component in PSO and SO is normally determined by the core functions and tasks of the police under the relevant mission mandate. However, depending on the specific mission mandate and identified operational needs/objectives, the presence of all or some of the different categories of AUPOL Officers may be deployed.

- 32.2** An AUPOL Component shall be led by a Head of the Police Component (HOPC), who may be appointed as the Police Commissioner (PC) or Police Adviser (PA) depending on the mandate and size of the Police Component in the specific field mission. The HOPC shall be accountable to the HOM or SRCC.
- 32.3** Where PPSs are appointed they shall constitute the Police Senior Management Team (PSMT) of the Police Component and oversee the performance of the duties and activities of the IPOs, FPU and SPTs.
- 32.4** The HOPC shall be responsible for ensuring the development and implementation of the Police Concept of Operations, Police Mission Implementation Plans, Police Mission Standing Operating Procedures and Directives in alignment with the AUPOL Policy, Guidelines Procedures.

### **33. PLEDGED POLICE STANDBY CAPABILITIES**

#### **33.1 Regional Pledged Police Standby Capacity (RPPSC):**

- 33.1.1 The RPPSC is a standby capacity within the framework of the multi-disciplinary ASF, as provided for under the Protocol.
- 33.1.2 The RPPSC shall consist of pre-identified, assessed and selected officers in the categories set out in this Policy (PPS, IPOs, FPU, SPTs).
- 33.1.3 Prior to being assigned to be on standby, the nominated officers shall undergo and pass the mandatory AUPOL selection processes as stipulated for the different categories of officers.
- 33.1.4 Selected and identified officers included in the RPPSC shall, at all times, be kept operationally ready for deployment.
- 33.1.5 Police personnel shall not be placed on standby as part the RPPSC on the basis of a mere nomination by their national authorities or the RMs/RECs, without going through the prescribed assessment process.
- 33.1.6 Police personnel shall not be placed on standby as part of the RPPSC merely on account of them having undergone various ASF training exercises, without being properly assessed in accordance with the selection criteria.
- 33.1.7 The AU takes due cognisance of the fact that some police capacities might already have been pledged and even placed on the ASF Standby Roster. In such cases, all police personnel who have already been placed on standby without being assessed should now be assessed in line with the assessment criteria for their category.



### **33.2 AUPOL Officers and Experts on Africa Standby Capability (ASC) Roster:**

- 33.2.1 The Roster shall contain the names and particulars of pre-identified police officers and experts who can be deployed at short notice to command, or for other specialised positions, as part of the Mission Start-Up Capability (MSUC) or for any other specific purpose authorised or mandated by the PSC or Assembly.
- 33.2.2 Officers that previously served as HOPCs, or as other PPSs, as well as civilian experts, may be placed on the ASC Roster if they meet the set requirements. The personnel placed on the ASC Roster may be deployed at short notice as part of the Police Rapid Deployment Capability (PRDC) or MSUC.
- 33.2.3 IPOs being considered for placement on the ASC Roster should meet the minimum requirements in terms of job specifications, professional experience, skills, educational qualifications and background integrity. They shall also be subjected to assessment in line with the prescribed assessment criteria for their category. The PSC, Assembly or the Chairperson of the AU Commission shall only authorise exemptions from the prescribed assessment procedures in writing.
- 33.2.4 Individual from the ASC Roster may be deployed on a temporary basis while awaiting the final recruitment and appointment of candidates to fill the positions. Where necessary, and in alignment with relevant prescripts, these individuals may be appointed for a longer period should other suitable candidates not be available.
- 33.2.5 The AU Police Component at AU Headquarters shall prepare any relevant Guidelines and SOPs that the Chairperson of the AUC may, in line with Article 16 of the Protocol, issue as additional directives and guidelines for the establishment, selection and utilisation of individuals of the RPPSC and Roster.

## **34. CATEGORIES OF AUPOL OFFICERS**

### **34.1 POLICE PROFESSIONAL STAFF (PPS)**

- 34.1.1 This category consists of internationally recruited staff members who are appointed by the Chairperson of the AU Commission and employed in terms of an employment contract signed between themselves and the AU Commission.
- 34.1.2 Members of the PPS form the Management and Leadership Structure of the AUPOL Component at different levels. They are responsible for developing strategy, supervising and coordinating implementation, exercising oversight and providing guidance on all AUPOL programmes, projects and police activities.

- 34.1.3 The PPS members are appointed by means of a competitive recruitment and selection process to fill professional-level positions. They are normally seconded to the AU by governments of AU MS or, recruited as individuals if they are no longer in service in the government of an AU MS.
- 34.1.4 Where specific skills and qualifications are required, retired police officers or police experts who may not be in active police service within their countries, as well as civilian experts, may also be recruited and appointed, provided the officers or experts are under the AU retirement age of 62 years.
- 34.1.5 The initial term of employment of PPS other than the CPA and the DCPA shall be three years, which may be extended up to five years, subject to, at the least, a satisfactory performance evaluation upon completion of the first and subsequent years of service. Renewal of contract or extension of service for any PPS shall be based on organisational need and satisfactory performance. However, in exceptional circumstances, the Chairperson of the AUC may authorise further extension of service.
- 34.1.6 The CPA and DCPA shall be appointed for an initial four- year term, subject to, at the least, a satisfactory performance evaluation upon completion of the first and subsequent years of service. The employment contract of the CPA and DCPA may be renewed for one more term of not more than four years.
- 34.1.7 The CPA, working in collaboration with the Directorate of Administration and Human Resources Management (DAHRM) of the AU Commission, shall prepare the necessary Administrative Guidelines and SOPs to guide the conditions, criteria, processes and procedures for recruitment, selection, appointment, vacancy management and succession of PPS at AU Headquarters and in AU PSO and SO field missions.

## **34.2 INDIVIDUAL POLICE OFFICERS (IPOs):**

- 34.2.1 Governments of MS contribute IPOs for deployment and service in AU PSO and SO. They should have a level of expertise in relevant policing fields to ensure effective implementation of international policing tasks within the framework of the specific mandate.
- 34.2.2 IPOs are deployed as individuals, but also form part of police contingents in PSO and SO. All IPOs nominated for deployment must first participate in and pass the Assessment for Mission Service (AMS) process that is conducted in their countries by the AUPOL experts constituted by the Chairperson of the AUC as an African Union Police Selection Assessment and Advisory Team (PSAAT).
- 34.2.3 The term of deployment for IPOs is an initial period of one year, with a possible extension for a further year, based on operational needs, performance and specialised skills, achievement of the agreed and expected results and impacts

in their functional areas of responsibility, good conduct and discipline and upon request of the AU and approval of their PCCs. Only in exceptional circumstances shall the service of IPOs in PSO and SO field missions be extended beyond two years and such exceptional extensions of service shall not exceed three years from the date of initial deployment.

- 34.2.4 The AUPOL Component at AU Headquarters shall issue Guidelines and SOPs to guide the requirements, AMS procedures, management and administration of IPOs.

### **34.3 FORMED POLICE UNITS (FPUs)**

- 34.3.1 Governments of AU MS contribute FPU personnel and equipment for deployment and service in AU PSO and SO. FPUs are cohesive and robust mobile Police Units that provide support to AU operations, personnel and missions, primarily in public order management, safety and security and protection of civilians and vulnerable groups. As a part of the AU Police Components FPUs work to establish and maintain communities that are safe, democratic and abide by human rights by delivering professional, responsive and robust international policing in accordance with the mandate.
- 34.3.2 One FPU shall consist of minimum of 160 police officers including the core command element, tactical elements and support elements, and the prescribed Country Owned Equipment (COE), according to AU standards for operational readiness.
- 34.3.3 Although they are armed and can be deployed alongside the military, FPUs are not deployed to perform the functions of the military. They are deployed to perform a range of high-risk police operations which IPOs are not equipped or configured to perform, including, but not limited to, taking necessary steps to stop or prevent genocide; public order management; providing operational support to host nation police or other law enforcement agencies; conducting special police operations independently or jointly with Host State police; protecting civilians, including vulnerable groups such as persons identified as internally displaced persons (IDPs) and returning refugees; protection of unarmed IPOs and other mission personnel, civilian components and unarmed military observers; providing security escorts for humanitarian actors to facilitate access, etc. They may also be utilised in the training processes of the Host State police, although this is not one of their core functions.
- 34.3.4 Before being deployed all FPU personnel nominated for deployment to PSO and SO must undergo and pass the Assessment of Operational Capability (AOC), as well as pre-deployment verification of their COE, which is conducted in their home countries by an AU Formed Police Assessment Team (FPAT) constituted by the Chairperson of the AUC.
- 34.3.5 FPUs are deployed as a Unit for one year, after which they are rotated. They are not considered for extension of service in the mission beyond one year,

unless operationally required, in which case they can only be extended as a Unit and not as individuals.

- 34.3.6 The AUPOL Component at AU Headquarters shall develop the necessary Guidelines and SOPs for issuance to guide the requirements, AOC procedures, management, administration Use of Force and Firearms Directives and Operational Directives for FPU.

#### **34.4 SPECIALISED POLICE TEAMS (SPTs)**

- 34.4.1 Governments of AU MS contribute Specialised Police Teams (SPTs) for deployment and service in AU PSO and SO. SPTs are groups of police officers with specific expertise, such as police reform, explosive experts, K9-Units, forensic, training, project management, planning and any other specialised skills that are not generally present within the normal and generic deployment of IPOs and FPU.
- 34.4.2 SPTs shall be deployed as a separate group or as part of a special group of IPOs or FPU, under the command of the HOPC. They are deployed for a specific project and duration, as agreed between the AU and Governments of the contributing MS.
- 34.4.3 All police officers nominated or deployed to PSO and SO as SPTs must, prior to their deployment, participate in and pass either the AMS or AOC processes conducted in their home countries by AU PSAAT or AU FPAT.
- 34.4.4 The AUPOL Component at AU Headquarters shall formulate the necessary Guidelines and SOPs for the requirements, deployment and utilisation of SPTs.

#### **I. AUTHORITY, COMMAND AND CONTROL**

35. Command, control and authority focus on ensuring overall accountability; providing strategic direction, planning and vision; effective management; administration; monitoring and evaluation of AUPOL.
36. In AU PSO and SO the HOPC is operationally and administratively accountable and responsible to the Special Representative of the Chairperson of the AU Commission to Host State (SRCC) and Head of Mission (HOM) or Special Envoy (SE), for the supervision and management of the Police Component, with particular responsibility to ensure effective and efficient mandate implementation and strict compliance with AU policies and procedures. The HOPC shall have delegated authority to exercise command and control of the Police Component and shall form an integral component of the Senior Mission Management Team (SMMT). In this regard, the HOPC shall be consulted and involved in shaping strategy and policy guidelines for the PSO and SO field missions.

Decisions about major police operations should result from consultations between the SRCC/HOM or SE and the HOPC.

- 37.** The HOPC has a dual reporting line of responsibility to the SRCC/HOM, SE and the CPA at the AU Headquarters for policy implementation and strategic direction.
- 38.** The HOPC is vested with operational command, control and overall delegated authority of all personnel in the Police Component. Such command and 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 (AOR). The HOPC may delegate such responsibility to appropriate subordinate levels but remains fully responsible and accountable for actions undertaken under his/her authority.
- 39.** The HOPC, in consultation with the AU CPA and the HOM or SE, shall establish a police chain of command, including a clear succession plan in the absence of a HOPC, to ensure effective command and control. The HOPC has the delegated authority to deploy and assign AUPOL personnel within the mission area, taking into consideration mission operational requirements, skills, competency levels, gender and national balance. He/she will participate in the identification and selection of the PPS for the mission, in collaboration with the AUPOL Component at AU Headquarters.
- 40.** While a number of key administrative tasks are performed by other components (logistics, human resource management, finance), the AUPOL shall ensure the presence of an effective administrative capability to guarantee effective management of all resources and information within the AUPOL. These functions include, but are not limited to, record management, conduct and discipline, inspection and evaluation, transport, logistics, personnel administration, selection and deployment, staff welfare, asset management and information management.
- 41.** Where there are operational needs for the placement of the AUPOL as part of components or teams outside the Police Component, such decisions will be taken in collaboration with the HOPC or SE and such officers may, based on need, be placed under the supervision of an alternative component, while retaining a reporting line to the HOPC.
- 42.** AUPOL Management at different levels shall establish mechanisms, processes and procedures to ensure the effective, efficient and accountable management and utilisation of all resources, as well as the availability of relevant operational and management information.
- 43.** HOPCs shall issue additional mission-specific SOPs, Guidelines and Directives, as required from time to time, to ensure standardisation and effective management and

control of AUPOL Components in missions. These issuances may add to, but not contradict, any AU or AUPOL prescripts or issuances from AU Headquarters.

- 44. The HOPC shall be the principal adviser to the SRCC/HOM or the SE in all matters relating to policing, the rule of law, public safety and security in the mission and the Host State.
- 45. The AUPOL Component at AU Headquarters shall develop relevant additional policies, SOPs, Guidelines and Directives that might be needed from time to time, to ensure standardisation and effective management and control of AUPOL Components.

## **J. GENERAL PRINCIPLES FOR AUPOL**

### **46. SOVEREIGNTY OF THE HOST STATE**

- 46.1 Article 4 (e) and (g) of the Protocol provides for the sovereign equality and territorial integrity of the Host State. All AUPOL personnel shall therefore observe and respect the sovereignty of the Host State.
- 46.2 The AUPOL shall, at an early stage, engage with and seek commitment from the Host State authorities, police and other law enforcement agencies and civil society to identify approaches, entry points and priorities for AUPOL support.
- 46.3 On-going support will only be effective and police development will only be sustainable if they are anchored in Host State needs, ownership, sensibilities, resources and priorities.
- 46.4 National ownership has been fully adopted by the AU as a principle espoused within the framework of Article 4 of the Constitutive Act, but it is also a practical necessity and a key factor in any transition strategy.
- 46.5 While 'ownership' is complex and the AUPOL may not be able to satisfy all competing views on the way forward, buy-in from key stakeholders is required if the AUPOL is to succeed in implementing its mandated tasks.
- 46.6 Where possible, these efforts shall be led by Host State authorities, while the AUPOL shall provide professional advice on and support for the development of such national strategies.

### **47. GENDER PERSPECTIVE**

- 47.1 The AUPOL shall, in executing all its roles and responsibilities, observe the principles of AU Agenda 2063, the African Union Gender Policy, in relation to the protection, rights and special needs of women, as well as UN Security Council Resolution 1325, and shall

therefore incorporate gender considerations in all international policing programmes and activities.

- 47.2** All AUPOL policies, processes and procedures shall be devoid of any content that might be prejudicial to or exclude women. The AUPOL shall promote non-discriminatory and adequate representation of qualified women at all levels to ensure a representative workforce.
- 47.3** AUPOL management at all levels shall ensure that they consistently take cognisance of and implement gender perspectives and gender mainstreaming principles in all activities, deployment and assignments.
- 47.4** Special capacity building and bridging programmes shall be developed and implemented to strengthen the ability of the PCCs and the AUPOL to deploy women in PSO and SO.
- 47.5** Specific measures and support programmes shall be implemented to ensure an environment conducive to the deployment of female police officers in the field. These include measures that respond to the basic physical and security needs of women and ensure respect, support and acceptance from male counterparts and from the AUPOL senior leadership.
- 47.6** A zero tolerance approach shall be followed to prevent and address any incidents of sexual harassment, sexual exploitation or any other form of harassment or exploitation, with specific emphasis on women.
- 47.7** The AUPOL shall promote non-discriminatory and adequate representation of qualified women in Host State police and shall work to ensure that women in the Host State police are provided with equal capacity and career development opportunities. They should be actively encouraged, including through training and advice as appropriate, to increase the representation of women at all levels of the Host State's national police and law enforcement agencies.
- 47.8** Monitoring and reporting mechanisms shall be implemented to focus specifically on the internal and external gender balance and gender mainstreaming objectives and activities of the AUPOL.
- 47.9** A suitable person in the AUPOL Component shall be identified and designated as the focal point for gender mainstreaming, to advise and assist the AUPOL Management in the realisation and implementation of these objectives.

#### **48. CAPACITIES and CAPABILITIES**

- 48.1** The AUPOL Component at AU Headquarters shall establish standards, processes and procedures to ensure the highest level of competency, capacity and capability for all AUPOL officers.
- 48.2** The AUPOL Component at AU Headquarters shall make every effort to identify and recruit those police candidates with the specialised capacities to fulfil mandates. AU Police Components can only deliver specialised assistance or advice if specialised personnel, police officers or other experts can be recruited and assigned commensurate tasks.
- 48.3** AU MS shall be encouraged to render all possible support to ensure the availability of human and physical resources that conform to the standards set.

## **49. HUMAN RIGHTS**

- 49.1** Police Senior Management at all levels shall ensure that all AUPOL Officers are aware of and comply with the AU Charter on Human and Peoples' Rights, the Universal Declaration of Human Rights and International Humanitarian Law and shall integrate human rights in all their activities.
- 49.2** Especially where PSO or SO are logistically and financially supported by the UN, all AUPOL officers shall familiarise themselves and observe the UN Human Rights Due Diligence Policy in all their activities in the mission area.
- 49.3** In fulfilling their functions all police personnel shall respect, protect and promote human rights, be able to recognise human rights violations and be prepared to intervene according to their specific roles, responsibilities and functions.
- 49.4** Specific human rights training shall be provided to AUPOL personnel as part of pre-deployment, induction and in-service training programmes, in accordance with the needs, as determined from time to time, with specific focus on gender-based violence (GBV) and the sexual exploitation of children.
- 49.5** AUPOL Senior Management, in consultation and collaboration with the Human Rights Component, shall ensure that adequate instructions and procedures are in place from the onset of all operations and activities to guide the actions of AUPOL personnel when they are confronted with human rights violations while performing their tasks.
- 49.6** Formal mechanisms shall be established between the AUPOL and the Human Rights Component to facilitate cooperation and information sharing to support the overall peace operation and mission mandate. The roles and responsibilities of each component shall be clearly established and internal procedures developed to ensure rapid preventative and protection responses.



## **50. POLICE-MILITARY COOPERATION**

- 50.1** The AU Military Component is an important partner of the AUPOL in establishing and maintaining a safe and secure environment and the protection of civilians.
- 50.2** A common understanding by the two Components of the roles and responsibilities is essential in order to draw on the abilities and skills in these similar, yet distinctly different uniformed components. The two Components must operate in an integrated manner in order to create and maintain a safe and secure environment for the protection of civilians.
- 50.3** The AUPOL must maintain a police-community oriented profile whose security tasks are the result of symbiotic interaction with the community that supports the maintenance of the moral authority and public trust needed for the effective implementation of international policing and community based policing programmes.
- 50.4** Although the AUPOL may contribute to public order management and/or the physical protection of civilians from imminent physical threats, there are clear limits to the robustness of the AUPOL (including FPU) compared to that of the military. Where threats exceed these limits or become threats of a military nature the AUPOL (including FPU) shall hand over responsibility to AU Military Forces, using pre-defined disengagement processes and protocols. Similarly, the military shall, depending on the circumstances and on pre-defined procedures, hand over responsibility to the AUPOL (FPU and/or IPO).
- 50.5** Maintaining separate profiles while establishing interoperability and strong functional relationships between AUPOL and AU Military Components, is critical to the successful implementation of the overall mission mandate.
- 50.6** Mission-specific guiding documents shall be developed to outline modalities of cooperation and transitions of responsibility specific to a variety of circumstances. These shall be developed in the planning phases for each mission and approved jointly by the Head of the Military Component (HOMC) and HOPC. Joint training and exercises shall take place regularly to ensure operational effectiveness and efficiency.

## **51. POLICE-CIVILIAN COOPERATION**

- 51.1** All AUPOL officers should recognise the primacy of politics and governance at any stage of operations in the PSO and SO field missions. The Civilian Component is responsible for the implementation of the mission's political support strategy to assist the Host State to achieve its national political blueprints. The activities of AUPOL are focused on both the immediate security situation and the long-term aspects of sustainable institution building. Effective partnership with all sections of the substantive Civilian Component is critical for capacity building of the Host State institutions and the enhancement of access to justice, the rule of law and good governance.

- 51.2** The AUPOL's regular interaction with communities also depends on the expertise of sections of the Civilian Component. These civilian sections also depend on the AUPOL as the first point of contact with communities and forerunners in the restoration of civil authority.
- 51.3** All efforts should be made by the AUPOL Management and all AUPOL officers to ensure the implementation of coordination mechanisms and joint programmes with other mission substantive units as well as with agencies and other civilian stakeholders.
- 51.4** The AUPOL shall actively support and participate in mission coordination structures such as the Joint Mission Analysis Centres (JMAC), Joint Operations Centre (JOC) and any others.

## **52. COOPERATION WITH OTHER INTERNATIONAL ORGANIZATIONS AND PARTNERS**

- 52.1** AUPOL Component at the AU Headquarters shall establish and maintain close working relationship with all organizations involved in international policing including and especially AFRIPOL, African Regional Police Chiefs Organizations, INTERPOL and others.
- 52.1** All AUPOL Components shall cooperate with partners and other key stakeholders within the mission area, in all matters concerning capacity building and development of the Host State institutions, protection of civilians, humanitarian affairs, stabilization, restoration of the rule of law and access to justice, disarmament, demobilization and reintegration, early recovery and development.

## **53. USE OF FORCE**

- 53.1** The use of force and firearms shall always be based on the principles of necessity, proportionality/minimum/gradual level of force, legality and accountability. All such actions shall be aimed at the protection and preservation of human life, property, liberty and dignity.
- 53.2** The AUPOL must exercise its powers, including the use of force, in strict compliance with the mandate issued by the PSC and other official issuances at AU Headquarters and mission level. In all cases the use of force shall be governed by the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, which was adopted by the Eighth United Nations Congress.
- 53.3** The AUPOL Component at AU Headquarters shall develop appropriate guidelines and directives for the Use of Force and Firearms by all AUPOL officers deployed in PSO and SO.

**K. CONDUCT AND DISCIPLINE**

- 54.** The AU embodies the aspirations of peace, security and development of all the peoples of Africa. In this context all AUPOL officers shall maintain the highest standards of integrity and conduct.
- 55.** All AUPOL officers will be provided with and will be required to sign an undertaking to comply with this Policy and any other guidelines, SOPs and any other issuances of the AU.
- 56.** AUPOL Officers will perform their duties with the interests and values of the AU in mind and will adhere to the following ethical behaviour:
- 56.1** Dress, talk, act and behave in a professional manner befitting the dignity of disciplined, respected and trusted police officers;
- 56.2** Display the highest level of honesty, integrity and accountability;
- 56.3** Respect and regard the human rights of all;
- 56.4** Respect the law of the land and the Host State, its local culture, traditions, customs and practices.
- 56.5** Exercise their duties as peacemakers and peacekeepers in a diligent, compassionate and impartial manner.
- 56.6** Recognise and respect the needs and interests of the Host State and its people and promote national ownership during all peace support processes within the limits of the mandate.
- 56.7** Use all existing resources effectively and efficiently.

**57. CODE OF CONDUCT**

- 57.1** It is incumbent upon all members of the AUPOL to display an untarnished public appearance that reflects favourably on the image of the AU at all times. They must adhere strictly to the standards of conduct for personnel assigned to the mission, including standards relating to sexual exploitation and abuse and zero tolerance (SEA/ZT). Members of the AUPOL are expected to refrain from conduct that might adversely affect their credibility, professional image or impartiality, which is critical to the legitimacy and integrity of the mission. All members of the AUPOL shall conduct themselves in a professional manner, both on and off duty.
- 57.2** Therefore AUPOL Officers shall:
- 57.2.1** Discharge their functions and duties and respond to all requests for assistance in a fair and impartial manner;

- 57.2.2 Respect the legislation applicable in the mission area insofar as it is not in conflict with internationally recognised human rights standards or AU rules, regulations and principles;
- 57.2.3 Treat the nationals and other inhabitants of the Host State with respect, courtesy and consideration;
- 57.2.4 Respect local customs, beliefs and culture and avoid acts that might be interpreted by the local population and the population of any states they are likely to visit while on duty or leave as outrageous and disrespectful;
- 57.2.5 Exercise the utmost discretion in handling confidential information and matters of official business which might compromise the reputation, credibility or security of the AU as a professional organisation;
- 57.2.6 Display a public appearance that will not tarnish the reputation and image of the AU;
- 57.2.7 Refrain from conduct that might adversely affect the credibility, professional image or impartiality of the AUPOL;
- 57.2.8 Record and report all incidents as directed and report on active or potential situations that might affect the AUPOL or mission mandate/operations;
- 57.2.9 Abide by this policy and by guidelines, standard operating procedures, AU rules, regulations instructions, circulars, directives or other issuances;
- 57.2.10 Obey and execute all lawful instructions, written or verbal, received from appropriate authorities/commanders;
- 57.2.11 Observe and follow strictly the chain of command in reporting any incidents, grievances, complaints or any other matters;
- 57.2.12 Wear their national police uniform while on duty, unless otherwise authorised;
- 57.2.13 At all times wear their uniform, national insignia and AU headdress and insignia in accordance with relevant prescripts that may be issued from time to time;
- 57.2.14 Properly use, care and account for all property, including money, vehicles and equipment assigned to them or placed under their authorisation;
- 57.2.15 Pay appropriate compliments to all personnel, including other AU sections, regardless of their creed, gender, rank or origin; and
- 57.2.16 Show respect for and promote the environment, including the flora and fauna, of the Host State.

**57.3** Further, AUPOL Officers shall not:

- 57.3.1 Engage in political activity or publicly express any preference for any political, religious or ethnic entity;
- 57.3.2 Discriminate against any person on any grounds, such as gender, race, colour, language, religion, political or other opinion, national ethnic or social origin, sexual orientation or association with a national community, property, birth or other status;
- 57.3.3 Indulge in immoral acts of sexual, physical or psychological abuse or exploitation of the local population or AU staff, especially women and children;
- 57.3.4 Abuse or misuse their authority or attempt to use their position for personal advantage;
- 57.3.5 Make false claims or accept benefits to which they are not entitled;
- 57.3.6 Solicit or accept any material reward, honour or gift, unless approved by the AU;
- 57.3.7 Absent himself/herself from duty without permission;
- 57.3.8 Participate in any illegal activities, corrupt, unethical or improper practices, including terrorism, money laundering, illicit dealing, smuggling or trafficking of any kind, or any other transnational organised crime;
- 57.3.9 Communicate in an unauthorised manner with external agencies or persons, including making unauthorised press statements;
- 57.3.10 Accept instructions from sources external to the AU;
- 57.3.11 Act in revenge or with malice against any person internal or external to the AUPOL; or
- 57.3.12 Engage in any act that might be contradictory to the good order, discipline and management of the AUPOL.

**58. MISCONDUCT**

- 58.1** All contraventions or behaviour that contradicts the Values, Code of Ethics, Code of Conduct or any other prescripts of the AU or AUPOL will be dealt with as misconduct. All acts of misconduct shall result in disciplinary action being taken against the perpetrator.
- 58.2** Misconduct is classified in two categories: Serious Misconduct and Minor Misconduct.
- 58.3** **Serious Misconduct:** defined as any act, omission or negligence, including criminal acts, that is a violation of this Policy, AUPOL Guidelines, SOPs, directives, or any other applicable rules, regulations or administrative instructions, that results in or is likely to

result in serious injury to an individual or adversely affect the credibility, legitimacy and professional image of the AU and/or the mission. Serious misconduct includes, but is not limited to:

- 58.3.3 Conduct prejudicial to good order and discipline, including disobeying a lawful order or instruction given by a superior officer or person placed in a position of authority over him/her;
- 58.3.4 Violation of international human rights law, or international humanitarian law or United Nations Human Rights Due Diligence Policy
- 58.3.5 Sexual abuse and exploitation of any individual, particularly women and children;
- 58.3.6 Sexual and gender-based violence, including rape, against any person;
- 58.3.7 Harassment, including sexual harassment;
- 58.3.8 Corruption;
- 58.3.9 Being involved or participating in commercial business or trading of goods or commodities of any description for personal gain;
- 58.3.10 Abuse of authority;
- 58.3.11 Repeated absence from duty without permission;
- 58.3.12 Excessive or improper use of force;
- 58.3.13 Unlawful discharge of firearms;
- 58.3.14 Breach of confidentiality;
- 58.3.15 Abuse of AU privileges and immunities;
- 58.3.16 Involvement in criminal activities and unlawful acts (e.g., theft, fraud, smuggling bribery, possession of illegal substances or objects);
- 58.3.17 Intoxication while on duty; or
- 58.3.18 Repeated minor misconduct.

**58.4 Minor Misconduct:** defined as any act, omission or negligence that is a violation of this Policy or any other applicable rules, regulations or administrative instructions, but which does not result in or is not likely to result in major damage or injury to an individual or the mission. Minor misconduct includes, but is not limited to:

- 58.4.1 Improper appearance;
- 58.4.2 Neglect in performance of duty not amounting to a wilful or deliberate act;
- 58.4.3 Intoxication while off duty;
- 58.4.4 Negligent driving;
- 58.4.5 Absence from duty without permission; and
- 58.4.6 Malingering.

## **59. DISCIPLINARY AND ADMINISTRATIVE ACTION**

- 59.1** Any AUPOL Officer who is found to be involved in any act, omission or negligence that may constitute Serious or Minor Misconduct shall be subjected to administrative and/or disciplinary measures.
- 59.2** Disciplinary measures that can be taken against AUPOL officers will be limited to administrative actions, including, but not limited to, verbal and written warnings, written reprimand and/or redeployment to another position/area and/or removal from AU or mission administrative benefits and concessions, such as the driving licence, when appropriate. In circumstances where the misdemeanour constitutes Serious Misconduct and/or merits more stringent measures, such as repatriation, the findings and recommendations shall be forwarded to the CPA for further consideration and recommendations for decision of the Chairperson through the established reporting channels in the AU Commission and the mission.
- 59.3** Administrative sanctions that are considered appropriate by the CPA shall be communicated to the relevant PCC for implementation and disciplinary action through the diplomatic channels established in Addis Ababa. The PCC shall be required to provide feedback in the prescribed manner, to the AU Commission for the attention of the CPA on any further disciplinary action taken.
- 59.4** The AUPOL Component at AU Headquarters shall issue guidelines pertaining to disciplinary matters to ensure that all alleged breaches of conduct are dealt with in a standardised and effective manner.

## **L. ROLES AND RESPONSIBILITIES OF POLICE CONTRIBUTING COUNTRIES AND MEMBER STATES**

- 60.** MS that offer to contribute police and other resources for service in PSO and SO, shall also agree to support and adhere to the Policies, Guidelines, Directives and SOPs of the AU pertaining to the police and international policing in AU PSO and SO.
- 61.** A memorandum of understanding (MOU) shall be negotiated and concluded between the AU and the Government of the MS contributing police and other resources for secondment or deployment for service under the AU. The purpose of the MOU is to establish the legal, administrative, logistical and financial terms and conditions that will govern the entire contribution of all categories of police personnel, equipment and services to PSO and SO. Deployment of MS police and other resources shall only take place after the MOU is signed and sealed between the AU and the Government of the contributing MS.
- 62.** The AU shall not authorise deployment of police officers from MS to any of its PSO and SO unless the relevant MOU has been concluded between the MS and the AU and is adhered to.

63. The AU highly discourages MS or PCCs from conducting self-deployment of their police personnel to any AU PSO or SO field missions without written authorisation from the Chairperson of the AUC. In the same spirit the AU shall not authorise or encourage any MS to conduct self-rotations or self-relocations in the mission area without its written authorisation.
64. MS and PCCs shall establish mechanisms to coordinate and communicate effectively with the AUPOL Police Component at AU Headquarters to enable the successful implementation of all AUPOL objectives, roles, responsibilities, processes and procedures. These mechanisms may be established in collaboration with the RMs/RECs.
65. MS and PCCs shall ensure compliance with the standards set out in this Policy, the AUPOL Guidelines and SOPs, as well as any other prescripts that may be issued by the AU from time to time.
66. MS and PCCs shall ensure compliance with and the implementation of relevant selection procedures, prerequisites for deployment and pre-deployment training in accordance with AU policies, the AUPOL Policy, AUPOL Guidelines and SOPs.
67. Within this Policy framework and the provisions of the relevant MOU, PCCs or MS are required to plan and prepare their police contributions to ensure effective response, support and coordination in an effective and sustainable manner. This planning includes the identification, selection, training, deployment and sustainment of all resources.
68. Where a PCC or MS requires support in fulfilling its responsibilities it can, through the relevant processes, request the assistance of AUPOL experts from the AU Commission Headquarters or other relevant supporting organisations and experts.
69. PCCs or MS shall ensure that all entitlements under national employment legislation, rules and regulations, including employment benefits and promotion opportunities in MS, are not discontinued, not accorded or prejudiced on account of their police officers being seconded or deployed for service under the AU.

**M. ROLES AND RESPONSIBILITIES OF REGIONAL MECHANISMS/REGIONAL ECONOMIC COMMUNITIES (RMs/RECs)**

70. In accordance with Article 16 (1) of the Protocol, the RMs/RECs are part of the overall APSA.
71. In this regard, the AUPOL Component at AU Headquarters and the Planning Elements (PLANELMs) in the RMs/RECs shall work in close partnership and collaborate to ensure that international policing for PSO and SO in Africa is consistent with the objectives and principles of the AU.
72. The Regional PLANELMs shall assist the AUPOL to promote the relevant AU policies, AUPOL Policy, AUPOL Guidelines and SOPs to the MS at regional levels and to obtain the necessary support and adherence thereto.



- 73. RMs/RECs shall assist PCCs or MS to establish effective coordination and communication processes with the AUPOL, aimed at the successful implementation of all AUPOL objectives, responsibilities, processes and procedures.
- 74. RMs/RECs shall support the AUPOL and PCCs or MS in the implementation of relevant training and development programmes.

## **N. GENERAL CONDITIONS OF SERVICE FOR AUPOL OFFICERS**

### **75. PRIVILEGES AND IMMUNITIES**

- 75.1 Under Article VII of the General Convention on Privileges and Immunities of the Organisation of African Unity, AUPOL Officers are, *inter alia*, 'immune from personal arrest or detention' and from legal process of any kind 'in respect to words spoken or written and acts done by them in the course of the performance of their duties'.
- 75.2 The Chairperson of the AUC has 'the right and the duty to waive the immunity of any AUPOL officer in any case where, in his/her opinion, the immunity would impede the course of justice and it can be waived without prejudice to the interests of the AU.
- 75.3 Privileges and immunities are granted in the interests of the AU and are not for the personal benefit of the individuals themselves. AUPOL Officers are subject to the jurisdiction of the Host State in respect of any criminal offences they may commit and any dispute or claim of a civil nature not related to the performance of their official functions.

### **76. TRAINING**

- 76.1 All AUPOL Officers deployed to PSO shall undergo the prescribed pre-deployment training programmes in accordance with the operational needs.
- 76.2 On arrival in the mission AUPOL officers shall undergo induction training programmes in alignment with their specific mandate and the functions expected of them, before in-mission posting.
- 76.3 Depending on the need and available resources, AUPOL Officers will receive in-service training in various specialised areas to enhance their skills or to address performance deficiencies.
- 76.4 The HOPC shall, in consultation with the mission's integrated training cell or unit, ensure regular planning and implementation of relevant in-service training programmes for AUPOL Officers.
- 76.5 The CPA shall develop appropriate and relevant training guidance for use by all AU MS at recruit, cadet and senior officer levels, to prepare them for current and future roles in AU mandated or authorized PSO or SO field missions.

## **77. RANK SYSTEM**

- 77.1** The AUPOL is a uniformed component with a unified command and control system and a defined hierarchical structure.
- 77.2** Police ranks are not standardised and differ from one country to another, thereby complicating the direct transfer of national ranks to AUPOL environment.
- 77.3** The AU shall not be placed under any obligation to observe the ranks that police officers bring or carry to PSO and SO or AU Headquarters from their home country, including promotion during their tour of duty with AUPOL, for deployment and assignment purposes.
- 77.4** Owing to the non-standardisation of rankings systems, competency, skills and knowledge will be used as the main criteria for appointment to managerial, supervisory positions or specific tasks.
- 77.5** It is, however, expected that seniority in rank will contribute to improved managerial exposure and expertise. Seniority may have an impact during the process of competing for positions, therefore the CPA may take the police rank into consideration in specific circumstances where senior rank is strategically required.
- 77.6** The AUPOL Component at AU Headquarters shall identify and develop AUPOL-specific mechanisms, criteria and ranking/seniority systems in accordance with identified structures at AUPOL at AU Headquarters and in field missions.

## **78. ASSIGNMENT, APPOINTMENT AND DEPLOYMENT**

- 78.1** Any police officer who has been nominated, identified or assigned for deployment to the AU Headquarters, PSO or SO shall be subjected to the prescribed AUPOL recruitment, selection and training processes as determined and in line with the specific categories of police officers.
- 78.2** Only the Chairperson of the AUC shall authorise exemptions in exceptional circumstances, which exemption shall be provided in writing.
- 78.3** The HOPC has the authority and responsibility to assign AUPOL Officers deployed in AU PSO, while taking into account their capabilities, special skills, regional diversity, national and gender balance.
- 78.4** Extension of an AUPOL officer's normal tour of duty is requested as an exception and not as a matter of routine.
- 78.5** Under normal circumstances AUPOL Officers are not transferred from one mission to another. However, in certain cases, due to AU or mission operational necessities and

exigencies, they may be transferred at the request of the AUC in consultation with MS within the prescribed processes.

## **79. SERVICE ENTITLEMENTS**

- 79.1** Entitlements, compensation and/or allowances shall be paid by the AU to all categories of AUPOL Officers as determined in the relevant AU Guidelines, AU Staff Rules and Regulations, AU Financial Rules and Regulations and agreed to in the MOU signed between the AU and the Government of the MS for the deployment of IPOs, FPU, SPTs and other resources for service in PSO and SO, or as determined in the employment contract between the AUC and the PPS.
- 79.2** Service entitlements for IPOs, FPU and SPTs are not necessarily similar, even though they are all AUPOL Officers.
- 79.3** The AU shall make provision to cover claims for costs incurred for treatment and hospitalisation, as well as to make financial awards for disability, death or missing-in-action for AUPOL Officers deployed for service in AU PSO.
- 79.4** The AU shall be responsible for the payment of compensation for disability, death or missing-in-action that is determined to have been attributable to the performance of official duties by the concerned AUPOL officer on behalf of the AU.
- 79.5** Within the prescribed administrative and financial rules, the AU shall bear the cost of travel or movement from home country to duty station for all AU police officers upon initial deployment, as well as for movement upon repatriation or separation and return to home country at the end of their service in the PSO and SO or with the AU Headquarters.
- 79.6** AUPOL Officers shall be entitled to annual leave and/or compensatory time off (CTO), as set out in the AUPOL Guidelines for the different categories of officers.

## **80. PERFORMANCE OF AUPOL OFFICERS**

- 80.1** The working hours of AUPOL Officers shall be determined by the HOPC as approved by the Head of Mission and be based on the operational and administrative requirements of the mission.
- 80.2** Every PPS, IPO, SPT and FPU member shall, on arrival and/or appointment, sign a performance agreement in accordance with his/her specific job description.
- 80.3** The performance of PPS and IPOs shall be assessed on a bi-annual basis, in a professional, objective, transparent and impartial manner. Should their term of duty be extended they will undergo an evaluation for every subsequent extension.

- 80.4** The performance of all FPUs shall be evaluated after completion of every six months of service. If the performance of any FPU member is found to be below average after completion of the initial six months of service, the Unit command element of such FPU member shall be repatriated with the approval of the AU Chairperson and the cost of such repatriation shall be borne equally by the AU and the Government of the contributing MS.
- 80.5** The performance of SPTs that are deployed as part of either IPOs or FPUs shall be assessed on a bi-annual basis or upon completion of their mission if the period is shorter than six months.
- 80.6** Performance management processes and procedures shall be included in the AUPOL Guidelines issued for the different categories of AUPOL.

**O. HONOURS AND AWARDS**

- 81.** The AU may give commendations and meritorious awards as acknowledgement for good work to deserving AU Police officers, as determined from time to time.
- 82.** Every AUPOL officer shall be eligible for award of an AU Service Medal and an AU Certificate of Service after completing months of service starting from the date of arrival in the Mission area.
- 83.** The HOM, HOPC or other designated official shall confer the Service Medal and Certificate of Service on parade.
- 84.** The AU Police Component at AU Headquarters shall develop the necessary guidelines for AU Police commendations and awards.

**P. BOARDS OF INQUIRY**

- 85.** The AU shall convene Boards of Inquiry, to investigate, report and make recommendations in all instances concerning:
- 85.1 Death of an AUPOL officer;
  - 85.2 Missing-in-Action of an AUPOL officer;
  - 85.3 Injury of an AUPOL officer;
  - 85.4 Attacks
  - 85.5 Certain disciplinary situations
  - 85.6 Disability of an AUPOL officer; and
  - 85.7 Loss or damage to the mission or AU property of partner owned property on issue to the mission or to the AU

- 86.** The BOI shall express an opinion on whether the death, injury or missing-in-action of an AUPOL officer, or the damage or loss of mission, AU or partner owned property was caused by the wrongful act, carelessness or negligence on the part of any person or entity.
- 87.** The BOI shall make appropriate recommendations regarding:
- 87.1 The recovery from or payment of compensation by any person or entity and the amount thereof in United States Dollars, or whether any claim should be acceded to, resisted or instituted.
- 87.2 The measures or action that should be taken and the actors, to prevent a recurrence of similar incidents in the future.
- 88.** The Convening Order for all BOIs shall be signed by the HOM in his/her capacity as the Accounting Officer for the Mission, in terms of the AU Financial Rules and Regulations.

## **P ADMINISTRATION**

- 85.** All official AU or AUPOL correspondence shall be written on the approved official letterhead of the AU.
- 86.** AUPOL shall ensure that a proper record and filing system is in place at the AUPOL Component in AU Headquarters and at all levels in a mission, in accordance with AU guidelines and records classification systems.
- 87.** AUPOL officers shall not communicate AU confidential information or documents without express approval or authorization by the Chairperson of the AU Commission, HOM or HOPC, as applicable.

## **Q. POLICE STRATEGIC SUPPORT GROUP (PSSG)**

- 87.** The African Union Police Strategic Support Group (PSSG) is established as a specialized police advisory body to AU and its Organs including the AU Commission, the AU Peace and Security Council (PSC) and the AU Specialized Technical Committees, the Regional Economic Communities (RECs), Regional Mechanisms (RMs) and African Union Member States, on all matters relating to the police and international policing, the rule of law, public safety and access to justice, within the framework of conflict prevention, resolution and management, PSO and SO, that are mandated or authorized by the PSC, the Assembly of Heads of State and Government of the African Union (Assembly) or the RECs/RMs.
- 88.** The strategic objectives of the PSSG are to:
- 88.1 Enhance the participation of the police in all AU decision-making processes under the rubric of peace and security including AGA, APSA, Africa Agenda 2063, the 50<sup>th</sup>

Anniversary Solemn Declaration by the Assembly, to enhance and consolidate governance and the rule of law, public safety, post conflict reconstruction and development, human rights and development in Africa.

- 88.2 Render support to strengthen and augment the capacity of the AU including its Police Components, to discharge international policing functions efficiently and effectively;
- 88.3 Support all efforts, initiatives, projects and programmes designed to strengthen African Union police capacities in performing their mandated functional responsibilities in conflict prevention, resolution, management, PSO, SO, post conflict reconstruction and development;
- 88.4 Promote and project AU police vision, mission, identity, values, ethics and chain of command relationships;
- 88.5 Establish effective networking amongst Africans with the relevant knowledge, expertise and experience in international police operations and command across the world, to enhance African international policing capacities;
- 88.6 Assist in mobilising the required technical, financial and logistical resources to support international policing in conflict prevention, resolution, management, PSO, SO, post conflict reconstruction and development.
- 89.** The principal roles and responsibilities of the PSSG are to:
  - 88.7 Provide substantive strategic and technical expert advice, assistance and support on all matters relating to the police and international policing in support of conflict prevention, resolution and management including PSO and SO such as political missions, disaster response and humanitarian action support, within the framework of the African Governance Architecture (AGA) and the African Peace and Security Architecture (APSA).
  - 88.8 Develop and harness African international policing capacities for conflict prevention, resolution and management including PSO and SO.
  - 88.9 Support, assist and augment the efforts of the AU in the areas of planning, research, training and development, policy development for police and international policing for conflict prevention, resolution and management including PSO and SO.

88.10 Assist, advocate, promote and support the participation of the police in AU decision-making processes of the AU, African Governance Architecture (AGA), the African Peace and Security Architecture (APSA) and the development of Africa as outlined in the Africa Agenda 2063 for the Africa we want and any other subsequent blueprints.

88.11 Meet as often as required or necessary to deliberate or perform given tasks.

**90.** The PSSG consists of senior police experts from AU Member States who are selected based on their skills, experience, expertise and qualifications in the areas of international policing in peace operations, as well as co-opted members from accredited AU development partners that support the police, policing, governance and rule of law sector in Africa. The PSSG may also meet at the level of African Chiefs of Police within the framework of the relevant decision-making AU Specialized Technical Committee (STC), to deliberate on matters brought by PSSG technical experts or to task, direct or assign PSSG technical experts.

**90.** The Chairperson of the AU Commission shall provide financial budgetary support for PSSG activities, projects and programme meetings. The Chairperson of the Commission may raise and accept voluntary contributions from external sources in accordance with the objectives and principles of the African Union and the AU Financial Rules and Regulations.

**91.** Approved documents of the PSSG shall be translated into AU official languages.

**92.** The AUC shall facilitate the activities of the PSSG, consider the advice, documents, assistance provided by the PSSG, providing the necessary feedback on substantive issues raised by the PSSG, as well as submitting its reports and documents to the relevant decision-making Organs of the AU, for decision.

**93.** The AUPOL Component at the AU Headquarters shall provide secretariat services to all PSSG meetings and also coordinate the activities of the PSSG. The Primary Communication Architecture (PCA) of the PSSG shall be as follows:

93.1 African Chiefs of Police;

93.2 Chief Police Adviser at AU Headquarters in Addis Ababa;

93.3 Embassies of AU MS in Addis Ababa and Headquarters of RECs/RMs in Abuja, Gaborone, Libreville, Nairobi and Tripoli;

93.4 Police Advisers at Embassies of AU MS in Addis Ababa, Abuja, Gaborone, Libreville, Nairobi and Tripoli;

93.5 Heads of Police Components in RECs/RMs Planning Elements;

93.6 Heads of Police Components in PSOs and SOs;

93.7 Police Components in AU Headquarters, AU PSO and SO, RECs and RMs;

93.8 Offices designated for coordinating international Peace Support Operations offices at National Police Headquarters of AU Member States;

- 93.9 Accredited PSSG experts;
- 93.10 Heads of Training Centres of Excellence (TCEs) of Training Institutions (TIs) that provide police and policing training for conflict prevention, resolution and management, PSO, SO, post conflict reconstruction and development; and
- 93.11 AU development partners supporting the PSSG or policing for conflict prevention, resolution and management, PSOs, SOs, PCRD;
- 93.12 All Police Training Colleges in Africa
- 93.13 African Training Centres of Excellence and Training Institutions for international peace operations; and
- 93.14 Other entities and organizations within and outside the AU, on a need to have basis.
- 93.15 Other entities and organizations within and outside the AU, on a need to have basis.
94. The AU Police at the AU Headquarters shall develop the relevant Administrative Guidelines for the accreditation of PSSG members including the setting up of an ad hoc PSSG accreditation advisory committee, as well as the tasking, coordination and management of the PSSG.

## R. DEFINITIONS

For the purpose of this Policy, unless the context otherwise indicates:

**Accountability** means the obligation of the AU Police and individual AU Police officers to account within the framework of governance ethics, for their activities, accept responsibility for them, and to disclose the results in a transparent and responsible manner. It also includes leadership responsibility for decisions, policies, administration, governance, entrusted property, arrested and detained persons and implementation within the scope of employment position and encompassing the obligation to report, explain and be answerable to resulting consequences.

**African Chiefs of Police (ACOPs)** means the highest ranked National Chiefs of Police Institutions of Member States.

**African Standby Force (ASF)** means the multi-disciplinary capability as defined in Article 13 of the Protocol, which are placed on standby in their countries of origin and ready for rapid deployment to peace support missions at appropriate notice under the political direction of the Peace and Security Council of the AU and the operational direction of the Commission or the Regional Mechanisms.

**African Union (AU)** means the African Union as established by the Constitutive Act adopted by Heads of State and Government of Member States on 11 July 2000, in Lomé, Togo.

**African Union Mechanism for Police Cooperation (AFRIPOL)** means a mechanism, as adopted at the African Directors and Inspector Generals of Police meeting held on 10-11



February 2014 in Algiers, to coordinate day-to-day policing efforts against Organised Transnational Crime.

**African Union Police** means police staff in the Police Component both at African Union Headquarters in Addis Ababa and in field missions.

**Attack** means an incident resulting from the action(s) of one or more belligerents in the Mission area, which has a direct and significant negative, damaging or fatal impact on AUPOL officers or their equipment or facilities. Different activities may be characterised as a single attack or hostile action when these activities can be causally related to each other on common ground.

**Assembly** means the Assembly of Heads of State and Government of the African Union as defined in Article 1 of the Constitutive Act.

**AUPOL** means the African Union Police Component.

**Authorized** means a field mission that is planned, deployed, led and managed by Regional Mechanisms, Regional Economic Communities or Member States and supported by the African Union.

**Capacity** means having the aptitude, resources, relationships and facilitating conditions necessary to perform functions, solve problems and achieve objectives.

**Capacity building** means efforts to strengthen the capacity of the African Union Police or Host State police or law enforcement institutions in line with Article 14 of the Protocol.

**Chairperson** means the official elected and appointed as Chairperson of the AU Commission by the Assembly of AU Heads of State and Government in terms of Article 20 of the Constitutive Act of the AU.

**Charter** means the Charter of the United Nations, signed on 26 June 1945, in San Francisco, at the conclusion of the United Nations Conference on international organisation, came into force on 24 October 1945 and includes the International Court of Justice.

**Chiefs of Police** means African Chiefs of Police.

**Chief Police Adviser** means the senior police official appointed within the African Union Commission to coordinate the African Union Police Component at the AU Headquarters and to provide substantive advice and support to AU leadership and Heads of Police Components in PSO and SO on all matters of international policing for conflict prevention, resolution, management and post conflict reconstruction and development within the framework of PSO and SO.

**Commission** means the Commission of the African Union (**AUC**) as established in terms of Article 20 of the Constitutive Act.

**Component** means a substantive Civilian Component, Police Component, Military Component or Support Services Component.

**Constitutive Act** means the Constitutive Act of the African Union adopted by Heads of State and Government of the Member States of the Organisation of African Unity (OAU) in Lomé, Togo on 11 July 2000.

**Executive Council** means the Executive Council of Ministers of the African Union Member States as established in terms of Article 10 of the Constitutive Act.

**Field Missions** means PSO or SO.

**Formed Police Unit (FPU)** means a cohesive mobile police unit, providing support to African Union PSO and SO and ensuring the safety and security of the African Union personnel and missions, primarily in public order management, public safety and security and delivering more responsive and robust policing in accordance with the mandate.

**Head of Mission (HOM)** means the most senior political official appointed by the Chairperson as the Special Representative of the Chairperson of the AU Commission to the Host State of a PSO or SO (SRCC) and is conferred with delegated field authority to provide overall strategic guidance and direction to a field mission and all its components, resources and systems.

**Head of Police Component (HOPC)** means the senior police individual appointed and conferred with delegated authority of the Chairperson to exercise operational command and control and to coordinate the operations and administration of the Police Component in a PSO or SO and is also a member of the mission senior leadership team.

**Host State** means a Member State hosting a PSO or SO.

**Human rights** are rights inherent to all human beings, whatever our nationality, place of residence, sex, national or ethnic origin, colour, religion, language, or any other status. All human beings are all equally entitled to our human rights without discrimination. Human rights are all interrelated, interdependent and indivisible.

**Individual Police Officer (IPO)** means Police and other law enforcement personnel assigned to serve in the African Union on secondment by the Government of a Member State.

**Integrity** means the quality of being honest and having strong ethical and moral principles, accuracy and consistent professional and ethical standards.

**International Non-Governmental Organisations (INGO)** means organisations with similar missions to those of NGOs but international in scope and with outposts around the world to manage specific issues in many countries.

**International Policing** means policing in a Host State, which is undertaken by police officers that are not nationals of the Host State, under the mandate or authority of the PSC or Assembly.

**Mandated** means PSO, SO or field missions that are planned, deployed, supported, led and managed by the African Union.

**Member** means a member of the African Union Police (AUPOL).

**Member State (MS)** means Member State of the African Union as defined in Article 1 of the Constitutive Act.

**Missing-in-action** is a situation where an AUPOL officer is declared to be missing-in-action in the mission area, by the AU upon the recommendations of a board of inquiry convened by a competent authority of the AU.

**Mission** means field mission.

**Mission area** means the designated area of operation under the concept of operation of the field mission.

**Multi-dimensional components** means a combination of more than one Component in a PSO, SO or AU Headquarters.

**Non-Governmental Organisation (NGO)** means an organisation that is not part of government nor is a for-profit business; usually established by citizens, NGOs may be funded by governments, foundations, businesses or private individuals.

**Peace Support Operation (PSO)** means a field mission that is mandated or authorized by the PSC or the Assembly and is conducted in conflict or post-conflict situations within the territory of one or more Member States, with the objective of preventing or ending conflict, restoring peace, stability, safety and security of citizens and facilitating the early recovery and development of the Host State. The field mission may be planned and led either by the AU, regions or Member States with support of the AU.

**Police** means the principal national law enforcement institution of a Member State, that is responsible for policing and may include gendarmerie, immigration, customs and border services officials.

**Police Component** means African Union Police Component within the AU Headquarters, PSO or SO and ASF pledged police capabilities.

**Police Expert** means a police officer, ex-police officer or civilian that is knowledgeable and skilful in management and/or international policing in field missions.

**Police Contributing Country (PCC)** means a Member State that has concluded an MOU with the AU for the contribution of police personnel, COE and other resources for deployment for service in AU peace support operations.

**Police Professional Staff** means a police expert employed by the AU from the level of P1 and above recruited from outside his/her home country and who is not a citizen of the country hosting the duty station.

**Policing** means a function of governance responsible for the prevention, detection and investigation of crime; protection of persons and property; the maintenance of law and order, public safety and provision of operational, interim executive policing and capacity building and development support to national police or other law enforcement institutions of Host State of AU PSO and SO field missions.

**Policy** means, unless otherwise specified, this Policy for International Policing in African Union Peace Support Operations and Special Operations mandated or authorized by the Peace and Security Council of the AU or the Assembly of AU Heads of State and Government.

**Professionalism** means the combination of all qualities, including skills, good judgment, selfless service, helpful and polite behaviour that is expected from a police officer who is trained to do a job well.

**Protocol** means the Protocol Relating to the Establishment of the Peace and Security Council of the African Union, as adopted by the 1st Ordinary Session of the Assembly of the African Union, Durban, 9 July 2002

**Public order management** means police actions aimed at facilitating the population's exercise of their fundamental rights without any disturbance or unjustified hindrance and preventing assemblies from threatening or actually harming public safety in peace support operations.

**Public safety** means day-to-day security that allows full freedom of movement and virtual absence of crime and disturbances in peace support operations.

**Regional Mechanisms (REMs)/Regional Economic Communities (RECs)** means African Regional Mechanisms for conflict prevention, management and resolution as defined in Article 1 (h) of the Protocol.

**Regional Planning Elements** means the Planning Elements established under the REMs/RECs to plan for the prevention, management and resolution of conflicts.

**Respect for Diversity** means the appreciation, ability to accept, co-exist and work with a range of people or employees of varying races, ethnicities, characteristics including, but not limited to, religious and political beliefs, gender, education, social status, age, sexual orientation and geographic location.

**Respect for Human Rights** means promoting respect for human rights as one of the core purposes of the African Union and the African Union Police, by using all the resources at the disposal of the AU Police, including its moral authority, diplomatic creativity and operational reach. It includes assisting AU Member States, who have the primary responsibility for protecting human rights of their citizens, to achieve the standards set out in the Universal Declaration of Human Rights.

**Respect for the Rule of Law** means the AU Police and all AU Police officers are accountable under the law in all their activities, operations and decisions.

**Rule of Law (ROL)** means the principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principle of supremacy of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.

**Secretariat** means the African Union Police Component performing administrative and secretariat support to the Police Strategic Support Group.

**Special Operation:** means a field mission that is mandated or authorized by the PSC or Assembly and includes political missions, observer missions, special investigations, special investigations of crimes against humanity or gross human rights violations or war crimes, humanitarian action missions such as mass migration of refugees or internally displaced persons, or disaster response or management missions such as natural or man-made disasters that are declared as such and caused by disease epidemics, weather or climatic conditions like earthquakes, floods, droughts, landslides, volcanoes, heat waves, etc. The field mission may be planned and led either by the AU, regions or Member States with support of the AU.

**Specialised Police Team (SPT)** means a group of AUPOL officers with a particular police specialisation assigned to serve in PSO and SO as part of an FPU or as IPO contingents at the request of the Chairperson.

**STCDSS** means the Specialised Technical Committee on Defence, Safety and Security, which is an Organ of the Union, established in terms of Article 14 of the Constitutive Act.

**Union** means the African Union as defined in Article 1 of the Constitutive Act.

**United Nations (UN)** means the international organisation as defined by the Charter of the United Nations which was signed on 26 June 1945, in San Francisco, at the conclusion of the United Nations Conference on international organisation, and came into force on 24 October 1945, and its purpose is defined in Articles 1 and 2 of Chapter 1 of the Charter.

## **S. ACRONYMS AND ABBREVIATIONS**

AFRIPOL	African Union Mechanism for Police Cooperation
AGA	African Governance Architecture
APSA	African Peace and Security Architecture
ASC	Africa Standby Capability
ASF	African Standby Force
AOR	Area of responsibility
AOC	Assessment of Operational Capability
AU	African Union
AUC	AU Commission
AUPOL	African Union Police
COE	Contingent/Country Owned Equipment
CPA	Chief Police Adviser
CTO	Compensatory Time Off
DAHRM	Directorate of Administration and Human Resources Management
DCPA	Deputy Chief Police Adviser
FPAT	Formed Police Assessment Team
FPU	Formed Police Unit

HOM	Head of Mission
HOMC	Head of the Military Component
HOPC	Head of the Police Component
IDPs	Internally Displaced Persons
INGO	International non-governmental organisations
IPO	Individual Police Officer
JMAC	Joint Mission Analysis Centres
JOC	Joint Operations Centre
MS	Member State
MITC	Mission's Integrated Training Centre
MSUC	Mission Start-Up Capability
NGO	Non-Governmental Organisation
PSA	Peace and Security Architecture
PA	Police Adviser
PC	Police Commissioner
PCC	Police Contributing Country
PLANELM	Planning Element
PPS	Police Professional Staff
PSAAT	Police Selection Assessment and Advisory Team
PSMT	Police Senior Management Team
PRDC	Police Rapid Deployment Capability
PSC	Peace and Security Council
PSO	Peace Support Operation
PSOD	Peace Support Operations Division
REMs/RECs	Regional Mechanisms/Regional Economic Communities
ROL	Rule of Law
SE	Special Envoy
SEA	Sexual Exploitation and Abuse
SMMT	Senior Mission Management Team
SOPs	Standard Operating Procedures
SPTs	Specialised Police Teams
SRCC	Special Representative of the Chairperson of the AU Commission to Host State
STCDSS	Specialised Technical Committee on Defence, Safety and Security
UN	United Nations
UNSCR	United Nations Security Council Resolution
ZT	Zero Tolerance

## T. REFERENCES

- Constitutive Act of the AU (2000)
- Protocol Relating to the Establishment of the Peace and Security Council of the AU (2002)
- African Peace and Security Architecture (2002)

- African Governance Architecture (2011)
- The Banjul Charter (1981)
- 50<sup>th</sup> Anniversary Solemn Declaration of the Assembly (2013)
- Africa Agenda 2063 (2015)
- Policy Framework on the Establishment of the African Standby Force and Military Staff Committee (2000)
- Report of the Independent Panel of Experts for the Assessment of the ASF and Plan of Action for Achieving Full Operational Capability by 2015, dated 10 December 2013 (Gambari Report)
- AU Policy on Security Sector Reform (2013)
- AU Indirect Fire Policy (2012)
- AU Post Conflict Reconstruction and Development Policy (2006)
- AU Policy on the Protection of Civilians in AU PSO (2014)
- AU Policy on Quick Impact Projects (2015)
- AU Policy on Humanitarian and Natural Disasters Support (2015)
- AU Framework and Strategy on Conduct and Discipline for Peace Support Operations (2014)
- AU Staff Regulations and Rules (2010)
- AU Financial Rules and Regulations (2014)
- AU Policy for Whistle-Blowers in Peace Support Operations (2014 Draft)
- AU Gender Policy (2009)
- AU Policy on Prevention and Response to Sexual Exploitation and Abuse (SEA) in AU PSO (2014 Draft)
- Declaration of the 8<sup>th</sup> Ordinary Meeting of Specialized Technical Committee on Defence, Safety and Security held from 11 to 16 May 2015, in Victoria Falls, Zimbabwe
- Reports of the PSSG Maiden Conference (2014 and 2016)
- Meeting of the African Chiefs of Police in Algiers (December 2015)

#### **U. MONITORING COMPLIANCE**

The Chief Police Adviser shall monitor compliance with this Policy.

#### **V. CONTACT**

For any further information, contact the Chief Police Adviser, Department of Peace and Security, African Union Commission, Addis Ababa, Ethiopia.

APPROVAL SIGNATURE:  
APPROVAL DATE: