



Institute for Security Studies

PAPER

African Standby Force police roster system

Proposed features, operations and processes

INTRODUCTION

The scope and nature of policing tasks necessitated by contemporary peacekeeping operations have greatly increased and changed. Consequently, meeting the demand for police officers with the requisite expertise for the increasingly complex mandates of peacekeeping has become a great challenge.¹ A high priority needs to be placed on training personnel and building rosters of rapidly deployable, well-qualified police officers for peacekeeping missions. A roster system helps build up a personnel database of pre-screened professionals with appropriate expertise, and facilitates the rapid recruitment and deployment of qualified personnel.

The African Standby Force (ASF) policy framework document² provides for the development of integrated roster systems at continental and regional levels for maintaining rosters on available civilian and police capability, from which the African Union (AU) may recruit competent personnel for its various missions. So-called roadmaps,³ consultation forums,⁴ progress reviews⁵ and scholarly papers⁶ concerning the operationalisation of the ASF have emphasised not only the importance of establishing a roster system, but also the need to fast-track its establishment. However, no significant progress has been made to develop an integrated, standardised ASF police roster system beyond keeping sporadic records of officers who have participated in various ASF training events.

Despite the broad consensus on the need for a roster system, several explanations could be given for the failure to establish one. Lack of clarity about the features and operations of the system as well as the roles and responsibilities in its establishment and operationalisation appears to be the major impediment. The process of

establishing and operating the ASF roster system requires a concerted effort involving various national, regional and continental authorities. Without clarifying and agreeing on the details of what needs to be done and by whom, the discrete efforts of these various entities cannot be expected to yield a tangible result.

This paper specifies the features and functions of the ASF police roster system with the aim of helping to create a clear, shared understanding of what it entails. It also proposes the relevant standards, procedures and tools of the roster data operations and sharing; provides insights into the processes of the system's creation, operationalisation and management; and outlines the roles and responsibilities of the various stakeholders in the establishment and operation of the system.

The paper would thus inform and assist in the establishment and operationalisation of a standardised, integrated database system (supported by a special computer programme) that enables systematic capturing, maintenance, updating and sharing of information on the capabilities, training, deployment and performance of the ASF police personnel.

This paper draws on prior studies and recommendations on building United Nations (UN) and AU police capacities.⁷ Other major secondary sources include ASF-related policy framework documents, subsequent ASF roadmaps, and recommendations from seminars and consultative meetings. This source material is supplemented by information obtained through the author's personal involvement in activities and events related to ASF police training and rostering. The paper also greatly benefited from the author's prior experience in developing a somewhat similar database system.⁸

INTERNATIONAL POLICE IN UN PEACEKEEPING OPERATIONS

Peacekeeping operations have evolved and adapted to meet the emerging challenges of the peacekeeping environment. They have developed into what are now referred to as 'complex peace operations'.⁹ Contemporary peacekeeping operations are described as multidimensional, multifaceted and multifunctional endeavours that combine military, police and civilian capabilities, and involve a range of organisations, including the UN, regional organisations, NGOs and other non-state actors.¹⁰ The principal areas of complex peace operations consist of expanded policing tasks, justice, corrections, mine action, and disarmament, demobilisation and reintegration.¹¹

Multidimensional peacekeeping also requires the involvement of civilian experts to support various aspects of the operations, particularly in areas such as political affairs, human rights, gender issues, reintegration and rehabilitation, as well as civilian mission support functions. As a result of this extensive range of expertise necessitated by complex peacekeeping missions, the demand for enhanced systems that help in the recruitment and selection of police and civilian experts has also increased. Hence the efforts to establish and operationalise effective roster systems that ensure easy identification and rapid deployment of suitable personnel.

Although police personnel have been involved in UN peacekeeping operations since the early 1960s,¹² the scope of the police function has increased dramatically over the last two decades¹³ following increasing rule-of-law activities in peacekeeping operations. The police role in the peacekeeping environment has grown from its traditional monitoring and advising functions to institution building of local police services and interim law enforcement.¹⁴

The *Handbook on United Nations multidimensional peacekeeping operations* outlines the following police activities in peacekeeping: advising and reporting; reforming, restructuring, training and strengthening local police institutions; educating the public; community policing; electoral assistance; disarmament, demobilisation and reintegration; building new police institutions; and executive law enforcement.

Associated with this expansion of police roles, the number of police officers deployed in peacekeeping operations has dramatically increased over the past 15 years.¹⁵ In 1994 there were 1 677 UN Police (UNPOL) deployed in peacekeeping operations.¹⁶ This figure had increased to 5 840 in 2000, and in 2011 there were 14 233 police officers deployed. From 2004 to 2011 the number of police officers deployed grew by an annual average rate of 11,63 per cent.¹⁷

In addition to the expanded role played by the police, the mandated tasks of the police have also become more complex and multifaceted.¹⁸ 'The growing demand for international police and increasing complexity of their assigned tasks stem from the recognition of two things: that rule of law is fundamental to lasting and self-sustaining peace, and that competent, professional police – international and domestic – are essential to rule of law'.¹⁹ At the same time, meeting the demand for thousands of police officers with the required level of competency has become a greater challenge.²⁰

Police officers deployed in peacekeeping missions are usually seconded by member states, and a small proportion are at times directly recruited by the organisations that carry out the missions, such as the UN, the AU and the European Union (EU). Police officers seconded to UN peacekeeping missions are normally law-enforcement personnel on active duty in their home countries. While on deployment they remain members of their own national establishments but serve under the operational control of the UN, and conduct themselves in accordance with the international character of their mission.²¹

There are two main types of police deployed to peacekeeping operations: formed police units (FPUs) and individual police officers (IPOs). UN FPUs are defined as 'cohesive mobile police units providing support to United Nations operations and ensuring the safety and security of United Nations personnel and missions, primarily in public order management'.²² Durrant and England describe FPUs as 'well-armed officers whose job is to meet law and order threats that require more muscle than the average patrol officer can muster, but used with more precision than a military response often allows'.²³

An FPU comprises 120–140 officers, who are deployed as national contingents and paid by their own governments according to their own national rank and salary scale. However, in a manner similar to formed military units, countries volunteering FPUs are reimbursed by the UN.²⁴ Detailed guidelines that specify the roles, structures and standard operational procedures of FPUs are provided in the UN policy document for FPUs.²⁵

IPOs are specialised officers often deployed as members of observer missions or for advisory, reform and capacity-building functions.²⁶ They are considered to be experts and, unlike the FPUs, are paid monthly mission subsistence allowances by the UN.²⁷ Complete information on the selection, deployment and administration of IPOs are provided in the Guidelines for United Nations police officers on assignment with peacekeeping operations.²⁸

The recruitment and deployment of UN police officers are coordinated by the police division of the UN's Department of Peacekeeping Operations (DPKO). This

division is responsible for ensuring that candidates for peacekeeping operations meet certain minimum UN standards, which are determined through an assessment and selection mechanism in collaboration with the member states that nominate the candidates. However, the system for recruiting and deploying UN police, especially IPOs, has been criticised for failing to deliver quality personnel to peacekeeping missions quickly and efficiently.²⁹ Of the major shortcomings observed are uneven levels of qualifications among the police personnel seconded by member states; huge mismatches between missions' needs and the skill sets of seconded personnel; and lengthy deployment times (about nine months on average).³⁰

Although it has declined over time, the proportion of nominees who fail to meet the police division's minimum selection standards has been significant, which in addition to imposing undue burdens on the police division, also means that the high rejection rate 'reflects badly on those states that offer unqualified candidates'.³¹ Furthermore, as the assessment and selection system is based on screening out incompetence, it does not necessarily identify the specialised skill sets demanded by the missions and cannot guarantee to identify and select the best personnel.³² As a result, it has become imperative to develop a system that enables one to pre-identify, pre-qualify and pre-train police officers for peacekeeping missions.

Establishing both a standing and reserve capacity is one of the key recommendations to resolve the challenges for rapid police deployment. The first involves creating 'a large standing cadre of police and rule of law experts to help plan, deploy, and fill key leadership posts of new missions in their critical first year and provide support to other, ongoing peacekeeping operations'.³³ This requires recruiting and maintaining a specific number of personnel at the DPKO headquarters.

The second involves maintaining a sufficient number of pre-screened and pre-prepared standby personnel in the member states, who could be deployed at short notice when the need arises. This requires establishing and managing rosters of qualified police officers for various peacekeeping assignments. The standing and reserve capacities would comprise highly skilled IPOs as well as senior police leaders who would assist in filling senior mission positions. These could be officers nominated by countries for deployment and officers who individually volunteer to serve in peacekeeping missions, including retired or former police practitioners.

As a result of these recommendations, the UN DPKO has started building a standing police capacity (SPC). The UN SPC is a team of specialised police experts in the areas of 'police reform and restructuring, training, investigations, analysis, planning, legal affairs, public order, community

policing, budget and funds management, gender affairs, transnational crime; information and communication technology; human resources; detentions, and logistics'.³⁴ The SPC is meant to fill the capability and capacity gaps that exist to recruit and deploy police specialists in a timely and ordered manner for new peacekeeping missions.³⁵

Although police personnel have been involved in UN peacekeeping operations since the early 1960s, the scope of the police function has increased dramatically over the last two decades

Being the first UN police officers deployed to new UN peacekeeping missions, the SPC team members provide start-up capability for the police components to ensure the immediate and longer-term performance of the components.³⁶ In instances when they are not required to provide start-up capability in new UN peace operations, SPC members are deployed strategically to provide time-limited and targeted advice, expertise and assistance in the field of institutional law-enforcement capacity building to DPKO-led missions.³⁷ They are deployed as a cohesive team and rotated from one mission assignment to another for durations ranging from one to four months.³⁸

As well as providing rapid deployment and reliable mission start-up capability, the standing capacity is deemed beneficial in many ways. These include 'specialised training and vetting, familiarity with UN goals and procedures, eventual experience with multiple missions, and greater institutional memory and expertise'.³⁹

ASF POLICE IN CONTEXT: AN OVERVIEW

The prevalence of peacekeeping operations is greater in Africa than any other continent. Just over half (51,56 per cent) of the UN's peacekeeping missions implemented between 2004 and 2012 were in Africa.⁴⁰ Former UN Secretary General Kofi Annan affirmed that most UN peacekeeping missions were in Africa, 'where – I regret to say – developed countries are increasingly reluctant to contribute troops'.⁴¹

For decades, Africa has been plagued by violent armed conflicts that have hampered human security and development, and caused Africa to be pictured as 'a continent in turmoil'.⁴² Most of the conflicts on the continent are of an intrastate nature and involve state and non-state

actors of various kinds.⁴³ Although historical legacies can be traced in some of the conflicts, it is generally accepted that African conflicts are linked to endemic poverty, economic inequality and exclusionary political configurations.⁴⁴ Religion, detrimental legacies of colonial rule and ethnic dynamics are also often cited as being the root causes of conflicts in some regions and countries of the continent.⁴⁵

It is broadly believed that 'Africa will continue to witness violent conflicts and serious political upheavals,⁴⁶ probably increasing in magnitude. According to Adano and Daudi, 'recent predictions suggest an increase of 54 per cent in armed conflict in sub-Saharan Africa by 2030 compared to the 1980–2000 period'.⁴⁷ A report published by the Centre for Strategic and International Studies' Africa Program, which assesses risks to stability in sub-Saharan Africa, identifies the nature and magnitude of vulnerability to conflict and instability in ten sub-Saharan countries.⁴⁸ According to the report, such instability may include war, widespread ethnic violence and even the disintegration of the state in some contexts such as Sudan and the Democratic Republic of Congo.

The factors that point to continuing conflicts include socio-economic challenges and injustice; increasing religious tension and intolerance; state fragility or weakness; and the failure to consolidate democratic forms of governance in many parts of the continent. Consequently, states that have introduced supposedly better forms of governance intended to address historical problems in the national political arena (Ethiopia is an example) are still susceptible to emerging forms of inter-ethnic or inter-group conflicts.⁴⁹

The nature and magnitude of insecurity and conflict in Africa have engendered a need to search for Africanised solutions in addition to ongoing international peacekeeping arrangements. The establishment of the African Peace and Security Architecture (APSA) by the AU was a fundamental stepping stone in the pursuit of African solutions to African conflicts. The Constitutive Act of the AU provided the basis for this new form of African security architecture. The Act adopts the concept of the protection of civilians, enshrining the responsibility to protect human and people's rights, and the right to intervene in the internal affairs of member states. Article 4(h) of the Constitutive Act recognises the right of the AU to intervene in its member states pursuant to a decision of the Assembly of Heads of States of the Union in 'grave circumstances, namely war, genocide and crimes against humanity'.⁵⁰

The APSA consists of institutional arrangements set up to provide the operational dimension to the security provisions of the Constitutive Act. These comprise the Peace and Security Council (PSC), the Panel of the Wise, the Continental Early Warning System, the ASF and the

Peace Fund. At the centre of the APSA is the PSC, a standing decision-making organ for the prevention, management and resolution of conflicts. It operates as a collective security and early-warning arrangement to facilitate the timely and efficient response to conflict and crisis situations in the continent.⁵¹

Among the key components of the APSA is the ASF, which is considered 'one of the most important – and probably the most ambitious – institutional tools' that the AU has resolved to establish.⁵² The ASF is expected to provide the AU with the capability to respond to conflicts through the deployment of peacekeeping forces. It is intended to be a force on a high level of readiness and capable of rapid deployment in response to a request by, and under the mandate of, the AU.⁵³ The force is to be deployed for 'a multiplicity of peace support operations (PSOs) that may include, inter alia, preventive deployment, peacekeeping, peace building, post-conflict disarmament, demobilisation, reintegration and humanitarian assistance'.⁵⁴

The ASF is a reserve (i.e. not a standing) arrangement that is to be constituted through pledges from AU member states, and the Regional Economic Communities (RECs) and Regional Mechanisms (RMs). It consists of five regional standby multidisciplinary contingents with military, police and civilian expert capabilities contributed by the AU member states.⁵⁵ The standby contingents will be 'located in their countries of origin and be ready for rapid deployment anywhere in Africa, and possibly even outside the continent'.⁵⁶

The ASF structure, in its current preparatory stage, consists of a continental and five regional planning elements (PLANELMs). The continental-level PLANELM is organised under the AU Peace Support Operations Division (PSOD) at the AU headquarters, while the regional PLANELMs are located at the respective regional headquarters of the ASF in each of Africa's five regions. Key responsibilities of the continental PLANELM include developing a strategic headquarters capacity at the AU PSOD; overseeing and assisting the training and long-term development of the five regional forces; and setting up AU-mandated peacekeeping missions.⁵⁷

Developing the headquarters capacity involves maintaining and managing a limited number of full-time specialised staff as well as an on-call individual reinforcement system. The regional PLANELMs are tasked to provide a system of regionally managed standby forces by preparing a pool of units on standby in member states supported by appropriate administrative, logistics and training infrastructures. To this end, the regional PLANELMs need to maintain a small number of full-time core planning staff with individual on-call reinforcement of other headquarters staff positions.

The primary role of the respective RECs and RMs, to which the regional PLANELMs belong, is force generation and preparation, and the provision of planning, logistics and other related support during ASF deployment. Once deployed to a mission, ASF forces come under the AU's command and control through a special representative of the chairperson of the AU Commission, a force commander, a commissioner of police and a head of the civilian components, who are appointed by the AU chairperson.⁵⁸ ASF missions are approved and mandated by the PSC within the framework of the UN Charter and the AU Constitutive Act.

The police are one of the three components of the ASF's multidisciplinary capacities. The ASF policy framework provides for two types of police standby capabilities: FPU and IPOs. AU member states are to maintain formed units of police on standby. Based on these, the AU establishes and centrally manages a continental police standby system. The FPUs are to be deployed to missions as national contingents 'with their own equipment, including vehicles, communication systems, weapons and other special equipment required for their role'.⁵⁹

According to the ASF policy framework, member states that contribute FPUs to AU missions will be reimbursed under a system similar to that of the UN, subject to necessary variations to suit AU conditions. The IPOs on standby are part of the on-call reinforcement capacities, which consist of individual officers nominated to on-call lists in order to establish the police component of peacekeeping missions as they arise. Upon deployment, the IPOs are to be paid by their parent member states, while the AU administers their travel, mission subsistence and other allowances. Currently, each REC/RM is tasked to have a standby capacity of six FPUs and 720 IPOs by 2015.⁶⁰

Generally, the ASF police are to play the same roles that the international police in UN PSOs play, namely 'to help establish and maintain law and order and ensure the long-term capacity of the local law and order forces through monitoring, advice and training'.⁶¹ The specific mandate of an AU police component may, however, vary from one mission to another. In some missions, the AU police may be mandated to monitor the activities of the national police and other players, and to report on violations of human rights standards and international humanitarian laws or on breaches of provisions in ceasefire and related peace agreements.⁶²

In circumstances involving a 'collapse of law-and-order institutions, or where the local police are either non-existent or ineffective',⁶³ the AU police may be vested with the executive authority to execute certain functions of law enforcement. Advisory roles are required in both executive and non-executive police missions. These are performed by police officers at all levels: political, strategic, operational

and tactical. Similarly, the AU police may provide and facilitate training at strategic, operational and tactical levels, including mentoring individuals to build the operational and leadership capabilities of local police.

Police and policing are supposed to be an integral part of the policy, planning and management structures of the ASF at the levels of the AU and the RECs/RMs – both at headquarters and during missions.⁶⁴ Police components at the AU PSOD and the REC/RM headquarters need to create standing capability that enables them to effectively perform the planning, preparation, coordination and support functions that need to be implemented at the respective headquarters.

Police and policing are supposed to be an integral part of the policy, planning and management structures of the ASF at the levels of the AU and the RECs/RMs

The police policy, planning and mission management, and the support teams that serve within the PSOD and at the RECs/RMs, are headed by a commissioner of police. The police component in an AU mission is also headed by a commissioner of police, who reports to the special representative of the chairperson of the AU Commission and may have an indirect reporting line to the AU commissioner of police in the PSOD. The basic structure of the police components in mission headquarters may include the office of the commissioner of police, deputy commissioner of police, chief of staff, chief of personnel and administration, chief of operations, chief liaison officer and chief of logistics.⁶⁵

The ASF policy document stipulates that, in managing police standby and deployment, UN guidelines for police missions should be followed and modified as necessary to suit AU realities. The AU police standby arrangements should be linked to the UN Standby Arrangement System (UNSAS). Although ASF police personnel are to be drawn from their services in the respective member states, the role they are expected to play in PSOs may be vastly different from the duties they have at home. Moreover, member states may not always be able to develop all the skill sets during national service that are required for the effective implementation of mandated police tasks in different peacekeeping settings.⁶⁶ Consequently, the ASF policy stresses that all police officers on standby should be

trained in accordance with UN standards. The training should draw on the available UN training materials, training aids and courses, complemented to suit the specific requirements of operations in Africa.

While on standby, ASF police officers are supposed to participate in various pre-deployment activities, including training and joint exercises, organised by the respective RECs/RMs as well as the AU PSOD. To this end, centres of excellence for PSO training are being used in different regions. These centres are expected to be capable of conducting research into training; formulating guidelines for training; producing common training syllabi; and conducting control and evaluation functions.⁶⁷ Member states are also encouraged to integrate and institutionalise PSO training into the regular police training curricula, including basic training, specialised training and leadership development programmes.

The kinds of PSO training suggested by the relevant ASF policy documents include tactical-level training (i.e. basic PSO training for FPU and IPOs); operational leadership courses (for mid-level police commanders); strategic-level training for senior mission leadership; and specialised training in one or more of the specific aspects of peacekeeping operations. The demand for such diversified and institutionalised training means that it is crucial to develop a pool of police officers qualified to provide training for the peacekeeping environment. Hence the training of trainers is another important aspect of the ASF training courses.

SIGNIFICANCE AND STATE OF POLICE ROSTERS

The increasing role played by multidimensional peacekeeping has created an enormous demand for greater levels of professional expertise, in terms of both personnel numbers and quality. Linked to this growing demand is an increasing need for mechanisms that enable rapid recruitment and deployment of qualifying police officers, which an effective police roster system could provide. The UN DPKO has been attempting to address the demand by upgrading its recruitment mechanisms. This includes the development of rosters of professional experts. Alongside the expansion of existing UN roster systems, parallel initiatives to raise and deploy expert personnel in peace operations have been launched by many regional organisations, NGOs and member states.⁶⁸

The role of the Police Division of the UN DPKO is to enhance 'all aspects of recruitment of IPOs, FPUs, and civilian police experts within the police components and UN HQ staff, including the standing police capacity'.⁶⁹ The DPKO has professionalised key senior UN police posts in field missions, and requires more than 50 specialisations, including crime-scene management, transnational crime

operations, data analysis, police administration and community-based policing. While it increases the need for police roster management, the professionalisation of police posts would, at the same time, contribute to effective management of police roster systems. This is because such a system provides a taxonomical structure of the police tasks in peacekeeping operations and specifies the skill sets required for each post.

The DPKO-sponsored study on rosters for the deployment of civilian experts in peace operations⁷⁰ identifies and describes existing roster systems and practices worldwide, and narrates the lessons learnt from the practices. This study notes that developing a roster of qualified personnel is widely seen as the 'most efficient response to the increasing demand for a greater number and wider range of rapidly deployable personnel'.⁷¹ Speed, transparency, homogeneity, accessibility and low maintenance costs are among the benefits that a roster system well populated with suitable candidates could offer as a recruitment tool. Roster systems filter candidates by searching for relevant qualifications and experiences, and thereby encourage merit-based selection.

Police officers seconded to peacekeeping missions always come with widely varied skills, experience, organisational culture and philosophies of policing that reflect the realities of the police in their respective countries. In order to minimise the consequences of potential discrepancies, officers seconded to UN peacekeeping missions are expected to have gone through the standardised UN police pre-deployment training. Standby police roster systems could facilitate effective personnel planning and use of trained officers by providing a pool of personnel that can be drawn from for subsequent training and deployment.

Existing international practices and experiences of managing rosters focus mainly on civilian experts. Sometimes highly specialised police experts are included in the civilian roster systems, but in a few cases only. For example, the Swiss Expert Pool for Civilian Peacebuilding and Canada's Civilian Reserve include police officers with high levels of expertise in rule of law and security-sector reform. The UN also maintains a roster of senior police experts needed for headquarters and mission assignments as part of its civilian roster system.

Previously, the UN rostering procedure involved identifying current and projected vacancies; soliciting applicants for the positions by publishing generic vacancy announcements in the Galaxy System (the generic vacancy announcements are developed according to the generic job profiles for the functions and levels common to existing and potential field missions); placing the applicants cleared through paper-based screening into the roster; and

applying technical screening procedures on the rostered candidates when a vacancy has to be filled.⁷²

After the Inspira system was introduced, the roster consisted of candidates who had gone through technical screening, involving an assessment exercise and a competency-based interview, and were endorsed by a central review body for a particular position.⁷³ Before being placed in the roster, the candidates should have indicated an interest in being considered for selection for a future similar job opening. When vacancies with the same job code arise, roster members who, in connection with a previous application for either a generic or a specific job opening, have undergone a rigorous competency- and knowledge-based assessment and vetting process, conducted by an assessment panel, may be selected without further screening procedures.

In Africa, even for civilians, there is only one organisation (the African Civilian Standby Roster for International Humanitarian and Peacebuilding Missions – otherwise known as AfDem or African Democracy) that attempts to manage a roster system. Although AfDem expresses the intention to integrate police into its roster, it is severely constrained by capacity and acceptance: ‘The small size of the roster and the fact that AfDem does not offer funded deployments has limited its appeal to and uptake by international organisations.’⁷⁴ Overall, police roster management for peacekeeping assignments, especially for those seconded or pledged by member states, has not become a prevalent practice yet, not only in Africa but also elsewhere. Despite the growing demand for police personnel, member states are not seen as keen to create national pools of prequalified officers. The few exceptions are the Australian Federal Police International Deployment Group and the International Peace Operations Branch of the Royal Canadian Mounted Police.⁷⁵

At the heart of the impediments to operationalising standby police rosters is politics. The UNSAS, which was established as a mechanism to pledge personnel and equipment to the UN Secretariat for deployment at 15, 30, 60 or 90 days’ notice, failed because ‘almost no government was willing to give up the right to make case-by-case decisions whether and under what conditions to deploy’.⁷⁶ Furthermore, member states were reluctant to pre-nominate and dedicate well-qualified police officers, especially IPOs and senior police experts and leaders.⁷⁷ Member states find it hard to release their most capable officers, and there is no compelling obligation or incentive to do so. The lack of clear guidance and a standard operating procedure for establishing and operating a police standby roster system at national and regional levels may be another demotivating factor.

One of the major problems posed by the lack of effective police roster systems is the inability to find rapidly

deployable police experts for the start-up of new missions. For the successful start-up of a new mission, therefore, it is essential to augment existing recruitment arrangements with mechanisms to fast-track the recruitment of core mission start-up personnel.⁷⁸ This is why the DPKO established the SPC as an alternative to ‘ensure reliable access to a cadre of peacekeeping professionals who would be able to perform core mission start-up tasks at short notice’.⁷⁹

Overall, police roster management for peacekeeping assignments, especially for those seconded or pledged by member states, has not become a prevalent practice yet, not only in Africa but also elsewhere

If effective police roster systems that ensure the timely deployment of specialised police officers needed for start-up missions were operational, they would provide a less costly alternative to the SPC by allowing just-in-time recruitment of the specific kinds and number of police experts needed for each mission as it arises.

Besides the centralised recruitment and assignment of senior police experts by the UN and AU, heads of particular missions select from among the officers nominated or contributed by member states those best suited for various specialised assignments. Hence, mission leaders could be supported if there were effective roster systems for seconded police officers. On the other hand, member states that contribute police personnel could also benefit from establishing and managing national police roster systems.

When member states nominate police officers for secondment to UN or AU missions, they normally wish that their nominees are accepted. This may entail a sense of political patronage. However, national nominations are not always accepted because the number of positions is often smaller than the number of nominations and, more importantly, the recruiting bodies decide which of the nominations are selected on the basis of merit. Therefore, the more experienced and skilled the nominated officers are, the greater their chance of being selected.

Although the selection of candidates on the basis of merit ‘provides a market-driven incentive for member states to improve the quality and suitability of their

candidates,⁸⁰ the establishment of national rosters will help them improve the range and quality of the candidates they submit by means of systematic screening of nominees or applications to national roster membership and efforts to train their roster members. In this manner, the establishment and effective management of police rosters would eventually benefit both sides: the contributing countries as well as the recruiting organisations.

It is widely agreed that there is a need for the ASF police roster system. The ASF policy framework document provides for its establishment. Subsequent ASF roadmaps have underlined its significance and urged for it to be quickly established. The fact that police training for PSOs is taken seriously in the course of creating the ASF capability also makes proper recording and databases of trained personnel vital. In light of this, it is important that, on the one hand, a roster of police officers who have attended PSO training is created and, on the other, that detailed information about the PSO courses taken by roster members is recorded as part of the personal profiles of each roster member. Donors supporting the ASF training initiatives (e.g. the Norwegian government, which supports police and civilian training through its Training for Peace Programme) have increasingly emphasised the role of rosters of suitably qualified personnel available for participation in PSOs.

Despite these broadly pronounced expectations and suggestions, however, no significant progress has been observed in terms of establishing an ASF-level police roster system other than the sporadic records made of training participants by some training institutions (e.g. the Institute for Security Studies) and PLANELMs (e.g. the East African Standby Force Coordination Mechanism). Databases of trained police officers are basically a list of participants who have attended the training courses, with their personal details. This is not the same as a roster system, which incorporates a wide range of relevant information, including the professionals' skills profiles and readiness for deployment. The existing lists are only useful for the ASF to the extent that they can provide inputs for the national and regional rosters to be developed.⁸¹ Moreover, the process of recording and maintaining the training participant lists has been non-standardised, unintegrated and not sustained.

Going forward, the AU/PSOD will need to make a concerted effort to solicit informed support from the member states for the idea of establishing the standby roster, as well as commitment for its implementation. Proactive engagement at such a high level will be needed to push for member-state support, and that support must be leveraged into operational standards. This requires making a strong case for and systematically communicating with all stakeholders as well as selected

member states that supply police personnel. Primary targets should be member states with a better economic capacity and greater interest in African affairs. Those states may be solicited to come up with arrangements specifically designed to support police deployment to AU missions while minimising the negative repercussions for their own national policing needs. This may require setting up collaborative initiatives between police and other national institutions.

However, the moral obligation might not be successful, and member states may need to be financially incentivised. Durk and England propose that governments or police agencies should be offered retainer fees for officers pledged and placed on standby, and that the professionals are reimbursed at fixed rates for their deployment, in a manner similar to FPU and military units.⁸² In such a case, a binding memorandum of understanding may be signed between the AUC and the government maintaining the police reserve for AU missions. Simultaneously, the AU PSOD must plan to establish its own pre-screened reserve of individually volunteering senior police professionals, besides building a limited standing capability. These may be retired or resigned police officers who can qualify and commit themselves for rapid deployment when called upon.

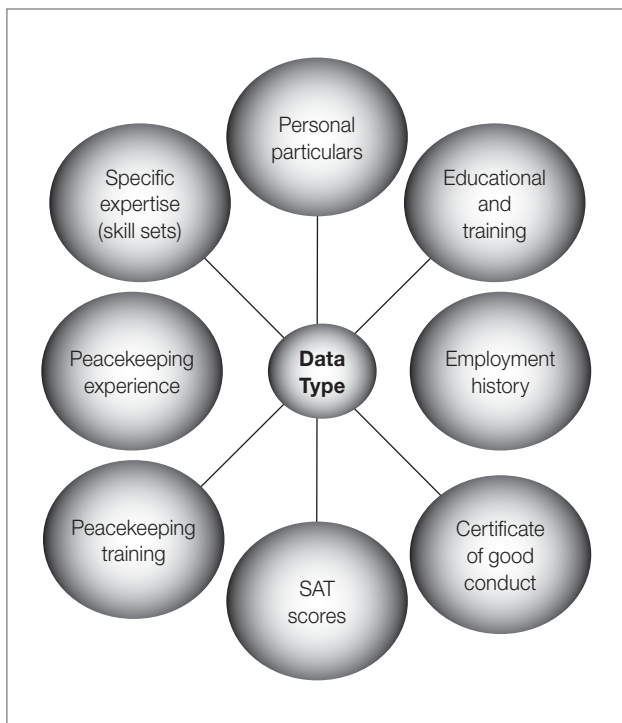
PROPOSED ASF POLICE ROSTER DATA STRUCTURE AND OPERATIONS

Types of roster data

Data captured and processed by the roster system should include sufficient details about individuals registered in the system to enable easy identification of the best candidates for various peacekeeping assignments. Such details depend on the requirements set for the selection of police officers for the assignments. These include general requirements, such as age, length of service as a police officer and skills (e.g. language, driving and firearms skills), as well as specific competencies required by various categories of police peacekeeping assignments.

Personal particulars – name, date of birth, sex, marital status, nationality, address and contact details (email addresses and telephone numbers) – form the preliminary entries in the roster files. A summary list of education, training and the employment history of each roster member can be included in the roster file with a detailed CV attached or interlinked to the roster file. 'UN Police repatriated are *ipso facto* declared ineligible for future assignments', and police-contributing countries are now required to certify that seconded police officers have a clean criminal, human-rights and disciplinary record.⁸³ Candidates for roster membership will therefore be required to present a certificate of this record at home as

Figure 1 Roster data structure



well as in previous peacekeeping deployments. Such information must be captured in the roster file.

To qualify for peacekeeping deployment, police officers are normally required to pass the applicable selection and assessment test (SAT), hence roster candidates are expected to be SAT cleared. In such cases, the date and place of the test, the testing body (UN, AU, or others) and the scores attained by the candidate may need to be recorded in the roster file. Since pre-deployment training is considered crucial in the ASF context, it is important to capture in the roster system details of the training undergone by the roster members.

The information that should be recorded and maintained in the roster file may include the type, date, duration (days, weeks or months), place and the provider of all courses a roster member has attended, as well as his/her performance scores in each of the courses. If one had been deployed to a peacekeeping mission, it would be worthwhile recording the name of the mission, period of deployment, positions assumed or jobs done, performance scores, including in-mission tests, medals or certificates of awards or services, etc.

The expert profiles (skill sets) specified for different police posts or job categories in peacekeeping operations constitute the key element of the selection requirements. Profiles of specific competencies required vary according to the particular job assignment and the specific realities of each mission. Therefore, to effectively serve the purpose, a roster should be inclusive of the requirements for all sorts of police peacekeeping assignments. This makes it important to develop competency specifications for each

type of role played by different categories of police officers deployed to different types of missions.

The main police roles in PSOs include advisory, monitoring and reporting, training and capacity building, executive law enforcement, management and administrative roles. Missions that might involve the AU police are monitoring, non-executive or executive ones. The main categories of the AU police are FPU, IPO, police mission component leadership, and police policy, planning and coordination staff at the continental and regional headquarters of the ASF.

Identifying the required specific skill sets and recruiting police personnel who possess those skills will become critical to the AU PSOD to succeed in filling out ASF police components and carrying out their mandates. Accordingly, the PSOD may need to undertake a study of the AU police based on the experiences of ongoing AU police missions and through informed analysis and forecasts of future AU missions in order to determine the kind and number of police personnel that will be needed, and to develop generic job descriptions for various categories of police assignments. Meanwhile, the UN DPKO practices can be used as a benchmark. 'A survey of UN operations over the past two decades yields a long list of tasks for UNPOL officers, many of which require special skills and preparation'.⁸⁴

The mandated core tasks of the UN FPUs include public-order management, protection of peacekeeping personnel and facilities, and supporting police operations that require the response of an organised unit or team and may involve a higher risk, such as those operations that are above the general capability of IPOs.⁸⁵ Similarly, the duties for which FPUs were conceived in the context of the ASF include crowd control, major incidents response, assistance to local police in the maintenance of law and order, and security of major events.⁸⁶ The revised policy on Formed Police Units in United Nations Peacekeeping Operations provides police-contributing countries and other member states with clear guidelines as to what is expected of the FPUs that they contribute. It is also noted in the policy that it would be 'complemented by more specific job descriptions to assist in selection and recruitment'.⁸⁷ The *UNPOL Magazine*, published in June 2012, indicates that new criteria for FPUs would be detailed in a new standard operating procedure.

IPOs in peacekeeping missions are mandated mainly to exercise law enforcement, advisory, reform and capacity-building functions.⁸⁸ In executive missions, they carry out executive policing functions as an interim measure until the local police are able to perform such functions effectively. These functions include protection of property and lives, investigation of crime and criminality, and enforcement of law and order. IPOs provide advice and operational

support to the host-state police in the areas of public-order management, conflict management, election security and security for camps accommodating refugees and internally displaced persons.

In supporting the reform, restructuring and rebuilding of national police and other law-enforcement institutions, IPOs may be involved in the processes of vetting, training and certification of police and other law-enforcement personnel as well as changing the policy and legal framework, administrative procedures and personnel management systems. Police on peacekeeping deployment are also expected to support global security by providing the appropriate expertise to host states to deal with emerging threats from organised crime, including trafficking, terrorism and financial fraud.

Finding the right candidates for police leadership positions in peacekeeping missions is another crucial precondition for effective peacekeeping operations. The ASF police component will need high-ranking police officers (police commissioners) to lead peacekeeping police contingents in missions, to head police teams at the AU PSOD and REC/RM headquarters and to play senior advisory roles for AU special political missions. The tasks of senior police officers include assessing policing capability and capacity, assessing domestic and regional security, advising on the strategic direction of police, formulating strategic plans for police organisational development and leading police reform support processes.⁸⁹

These officers are supposed to be skilled managers, able to think strategically and engage effectively with the national authorities and representatives of organisations like the UN and AU in the countries where they are deployed. On this note, member states are encouraged to contribute accomplished and experienced police managers who should be deployed within the command structures of the AU and UN police.

In short, the skill sets required by police officers are varied and many, including specialised expertise in various aspects of police tasks, managerial and administrative skills, and knowledge and skills of training and development. The UN Police Division has identified more than 40 specialisations categorised into six skill sets that are required for any given mission: management, administration, police operations/security, crime management/crime prevention, training and technical support.⁹⁰

Supposing that the AU adopts UN best practices, these skill sets are integrated into the sample roster file layout form (RFLF) proposed for the ASF roster system, which is annexed at the end of this paper. Using an improvised format similar to the proposed one, records revealing whether and to what extent the roster members possess the identified skills could be maintained in the roster file.

Roster data capturing

Data capturing refers to the process of being in possession of required information – in this case, about the roster members. It involves obtaining or generating the required facts, recording the facts into the database, and preserving and updating the records. Data capturing is the primary and most crucial operation in determining the effectiveness and quality of subsequent data operations (such as screening, sharing and utilisation) – and eventually the entire value of the roster system.

The data-capturing process starts with receiving and screening applications for roster membership. It is executed by the primary repository of the roster files, which in this case it is suggested should be the national roster managers at the member-country police headquarters.

So far, at the level of national police organisations, there is no standard norm for identifying or nominating candidates for FPU membership, and IPO selection and assessment processes. The major options include the handpicking of candidates by capable authorities at national police headquarters; nominations from different departments within a national police force, often based on a quota system; or direct application by IPOs. Each of these has its own merits and shortcomings.

Handpicking and departmental quota nomination for national roster membership based on uniform criteria and standardised procedures could minimise the burden of screening for the national roster managers. However, being distanced from the roster managers, the process is subject to issues of responsibility, awareness and attention, which could lead to less prudent screening (e.g. omitting good candidates and including poorer ones). This method may also aggravate the impact of departmental patronage over the central screening process, whereby more powerful departments and authorities are in a position to exert undue influence on the selection of their chosen candidates. Populating the roster through direct applications from interested police officers based on clear specifications and direct announcements from the national roster system could reduce the degree of the external influence, but places too much of a burden in terms of screening on the roster system personnel.

In order to obtain the information required to establish roster files, all candidates, regardless of the approach followed to identify them (be it nomination or direct application), should be requested to fill in a standard application form (the ASF roster membership application form). The application form needs to be designed to ensure that the information needed against each entry in the roster file is obtained (see the annexed RFLF). A completed application form must be submitted together with a detailed CV and other supporting documents, such as certificates of training, good conduct, awards, etc.

Using the information provided in the application form, CV and supporting documents, entry-level screening procedures (explained below) can be applied before membership is granted. If the nominee or applicant qualifies for membership, the information in the application form and CV will be transferred to the database file. The most critical aspect of this process is translating the information into the specific skill sets and rating the competency levels, as outlined in part 9 of the sample RFLF (see annex). Once entered into the roster system – a roster file is created for a member – the records will be updated continually as long as the member remains in the roster.

To maintain the utility of the roster system, it is imperative that rosters are constantly updated. This is a must for several reasons: the changing profiles of existing members (skills, address, status, rank, experience, readiness for deployment, etc.); the need to bring in the next generation of police experts; the changing demands of peacekeeping assignments – for example, new skill sets that are needed; and the need to maintain the required roster size by replacing those removed from the roster membership on various grounds, such as termination of service, obsolescence of skills, health and age.

There are a number of options to capture the information needed to update members' roster files. Where online application and profile updating are possible, roster members can be asked to update their CV and personal data.⁹¹ They may be requested to do so either at specified intervals (quarterly, semi-annually or annually) or at irregular intervals in the event of changes to their status in terms of their profiles. To communicate these updates, a standard profile-update form specifically designed for this purpose can be used; or submission of a note about the updated profiles accompanied by supporting documents may be sufficient. Roster members can also be asked to fill in a questionnaire at specified intervals to provide updates on their availability status and newly acquired skills.⁹²

When they attend appropriate training facilitated by the AU PSOD, ASF PLANELMs or their respective national police authorities, roster members can be asked to submit a report about the training. Alternatively, the same information may be obtained directly from the training institutions. When national police authorities organise selection tests such as UN SAT, national roster managers can arrange to receive the test scores of the roster members from the examining or organising bodies.

Regarding the roster members' status and performance during peacekeeping deployment, the members can be asked to submit in-mission and end-of-mission reports. These cover in-mission training, job assignments, discipline and conduct, performance scores, awards, as well as relevant personal experiences and suggestions.

Alternatively, such information could also be obtained through mission leaders, particularly the heads of country contingents. A specifically designed reporting format, such as a questionnaire or checklist, can be used to standardise the content of the information and to ensure simplicity of reporting.

Facilitating quick screening of qualified police personnel meeting the requirements for peacekeeping assignments is the principal purpose of the ASF police roster system

The data entered into the roster system needs to be protected from the risk of loss and illegitimate access. Hence safekeeping of all data-storage mediums is an important aspect of the data-capturing operations. The major threats are physical damage to the storage mediums, theft of the computers and backup devices, and false information that can sabotage the reliability of the system or genuine screening of the roster members. Several simple techniques can help prevent such security threats: ensuring physical security of the database components, ensuring restricted access to the database files, storing backups of the database records and the database program safely, and maintaining hard-copy files.

Screening and selection of roster members

Facilitating quick screening of qualified police personnel meeting the requirements for peacekeeping assignments is the principal purpose of the ASF police roster system. The speed and ease of the screening and the quality of the personnel screened will be the markers of the system's quality. Therefore, one of the main considerations in the design of the roster system is to make sure that it is capable of supporting speedy screening of roster candidates as well as those registered in the roster system. The ASF police roster managers will need to apply screening operations in three different instances: screening for entry, screening for placement and screening for removal.

National roster managers are required to conduct extensive screening of candidates (nominees and applicants) before a member is placed on a register (i.e. a roster membership is granted). A thorough screening at this level (entry-level screening) is crucial, in that it helps develop a pool of preselected personnel who can be

drawn on swiftly, without much further screening, when a position arises. Such an ongoing initial screening of national nominees or applicants to roster membership primarily seeks to ascertain whether the nominees meet the minimum requirements set for police peacekeeping deployment.

A report on the lessons learnt in managing rosters for the deployment of civilian experts in peace operations states that 'initial screening of certain skill sets such as interpersonal skills or the validity of many résumé details, should best be done by those most familiar with local conditions, culture and standards'.⁹³ In this regard, the national roster managers are best placed to apply effective screening and selection of their roster members.

For the entry-level screening to be effective, the minimum criteria for national roster membership need to be clearly defined and communicated. These should cover all categories of police capacities needed for peacekeeping operations, such as FPU, IPOs, police contingent commanders, specialist police experts and senior police advisors to political missions. These criteria should be the same in all member states, and should be developed at the AUC/PSOD level. To qualify for roster membership, candidates must meet the specified requirements for at least one of the many categories of police capacities needed for peacekeeping operations.

The screening procedure entails validating the information provided in the application forms, CVs and supporting documents, and thoroughly assessing the candidates' profile against the list of specified requirements for roster membership. The experiences of existing roster systems elsewhere indicate that many techniques could be applied in the screening process in addition to paper screening. These include use of an extensive questionnaire that candidates fill in, interviews, checking references, an evaluation form or confidential questionnaire completed by immediate superiors, compulsory participation in an induction training course and evaluation process during the training, and where possible collecting performance reports from UN or AU peacekeeping operation units on those with mission experience.

The second level of screening is performed when roster members are considered for placement or deployment to peacekeeping jobs that arise. Screening at this level is driven by specific demand and involves 'strategies that seek out the best candidates for particular posts, rather than those that meet the minimum requirements only'.⁹⁴ This may be done at national level by designated national selection teams with the assistance of national roster managers or at the levels of the RECs/RMs and the AU PSOD, depending on the applicable ASF policy and standard operating procedures.

The screening-for-placement process starts after a recruiting body (e.g. the UN, AUC or an REC/RM) has identified and communicated the personnel requirements for individual missions, including the number of personnel needed and job descriptions, and member states or RECs/RMs are requested to nominate police officers for the positions in the missions. This process often involves two steps: electronic screening and technical screening. In response to a mission-specific call for personnel, the roster managers should generate shortlists of candidates worthy of further technical screening based on the post's requirements.

To identify a number of suitable roster members for a particular placement, the roster managers will need to apply automated screening procedures. This requires the ability to make use of the technological advances in database software and search engines.

Roster members who have been identified as suitable candidates through the electronic screening procedures will then be subject to a thorough technical screening to select those best suited to a particular post. The number of electronically screened candidates should normally be greater than the number of personnel required for placement so that the application of further selection processes (technical screening) would be justified. The technical screening process may include interviews, reference checking and testing – depending on the procedures of the AU/ASF police selection and recruitment processes. The authorities designated to make the selection decision carry out the technical screening – not the roster managers.

If an interlinked roster system is operationalised to allow one-stop screening of roster members at regional and continental levels (as described in the section below on roster data sharing), the RECs/RMs and the AUC/PSOD could do the screening and selection on their own without asking the member countries to propose lists of suitable national candidates. If this is not the case, and personnel information in the national rosters is not shared with the RECs/RMs and the AUC/PSOD, member states will need to either be asked to forward a list of competent candidates for final selection at the respective REC/RM or AUC level, or be allowed to do the selection themselves as per the quota assigned to each. This may be determined at policy level or as part of the requirements for specific job positions or assignments.

In cases where the final selection decisions are made at the levels of RECs/RMs or the AUC/PSOD, but roster systems are not integrated, member states may need to share the roster file records (printed copies of the RFLFs) of their candidates or nominees with the regional or continental organs who make the selection decision.

Another aspect of screening concerns updating the roster by weeding out disqualified roster members. Members may be removed from a roster under various circumstances: when membership duration expires; upon failure to meet the requirements to continue as a member; and when one becomes unavailable for future deployment (for which there may be many reasons – lack of interest, change of career or employment, retirement, health problems and death). In some African countries, redeployment is not permissible in order to allow others to have the opportunity. In such cases, members should be removed from the roster when their deployment terminates. Determining the appropriate roster size, the length of stay in a roster, as well as the requirements to continue as a roster member is an important policy issue.

Roster membership allows candidates to be considered for assignment (be it direct recruitment or secondment), and recruiting organisations (such as the UN and AU) must select the best-suited candidates from the roster for each position that arises. Therefore, the number of roster members needs to be larger than the number of positions anticipated in order to allow competitive selection and assignment based on post-specific requirements. On the other hand, managing the roster involves a significant amount of cost and time, so the size of a roster must be restricted to a justifiable number. Determining the required size of similar rosters is achieved by defining the ratio of roster members to job posts.

In the case of the ASF, one must first determine the number of police officers needed to attain the ASF's required capability, and the quota expected from each regional PLANELM and eventually each member country. It appears that the full operational capability of the ASF has not yet been definitively determined. Originally, it was indicated that by 30 June 2005, the AU should have established a standby roster of at least 240 IPOs and at least two company-level FPUs. Later, however, the AU tasked each REC/RM to have 720 IPOs and six FPUs ready by 2015.

According to the DPKO's revised policy on Formed Police Units in United Nations Peacekeeping Operations, an FPU consists of a minimum operational capacity of 120 police officers; and additional command and logistics elements make up an approximate total strength of 140 personnel.⁹⁵ Based on such indicators, one could estimate the total number of police officers needed for the ASF by 2015 to be 7 800 (3 600 IPOs and 4 200 FPU members).

If the AU maintains a 5:1 ratio of roster members to actual police posts, a minimum of 39 000 roster members should be maintained at continental level – on average about 722 officers in each member country's national roster. On top of this, the member countries have to contribute police officers to ongoing UN and AU missions,

and hence they need to maintain a larger database of roster members than their commitment to the ASF. The number of officers on the standby roster at any one time needs to be adjusted according to the trends in demand.

Roster data sharing

Easy access to the information maintained in the system by all its legitimate users is one of the required key features of the proposed roster system. The stakeholders that may need to have access to the information in the ASF roster system include the roster managers at national, regional and continental levels; institutions involved in the ASF police training; and other external stakeholders who may need the information for the purposes of research and analysis.

The need to share the data with roster managers at different levels in the ASF structure is apparent, as they form the group of internal stakeholders of the roster system. The training institutions need the information to understand the needs of the ASF police training and to fulfil their training needs. Because their work could contribute to shaping ASF policies and strategies, researchers and analysts in the field of peacekeeping also deserve to have access to the information.

The best means to ensure effective sharing of the roster information with the RECs/RMs and AUC is to make the systems interlinked and establish a web-based platform through which managers can share data

Access to and sharing of the roster information should, however, conform to a recognised procedure. Hence a protocol will be needed to determine the privileges of stakeholders to access the information as well as the procedures for accessing and sharing the information.

The ASF policy framework provides that the AU will ensure that African standby information is included in UN standby databases, and that the detailed UN requirements for military, police and civilian standby are shared with the AU and its member states that have made commitments to the UNSAS.⁹⁶ This implies the existence of a deliberate intent and reinforces the need to share the standby roster information with key continental and international stakeholders.

The best means to ensure effective sharing of the roster information with the RECs/RMs and AUC is to make the systems (at national, regional and continental levels) interlinked and establish a web-based platform through which roster managers at all three levels can directly access and share the data in the system, but with limited privileges in terms of manipulating the original entries in the national rosters. While data entry and updating the records in the roster files may need to be restricted to national roster managers, accessing and collating the data captured in the national rosters, and screening candidates for placement based on the roster file records can be permitted for roster managers at the levels of the RECs/RMs and the AUC.

The system should allow national roster managers to enter and alter the data on members' roster files and to execute all necessary operations of data collating and aggregation while allowing roster managers at the RECs/RMs and AUC to have real-time access to the national databases, to read and print individual members' roster files, and to retrieve aggregated statistical data as required. This feature of the system will enable a one-stop screening of roster members at the REC/RM and AUC levels without requesting member countries to propose candidates for peacekeeping placements. The AU police roster can then become a continental one-stop roster by absorbing the other rosters at the REC/RM and national levels.

The approach that provides a common online platform and allows direct access, with different privileges and operations to roster managers at the REC/RM and AUC levels, will be feasible only if member countries are willing to share personal information. As observed from similar roster-management experience elsewhere, however, sharing detailed information among roster managers is often hampered by issues of data ownership and protection, even though it is an efficient roster growth strategy.⁹⁷ 'Indeed, overcoming concerns over political control and/or data protection is a central challenge for any efforts – international or inter-agency – to pooling personnel information.'⁹⁸

If sharing the roster files is found to be untenable, the option is to share statistical data. The ASF policy framework appears to be pre-emptive about the challenges in terms of sharing personnel data when it states that 'alternatively, if it is impracticable to provide names, member states could also advise the numbers of appropriately trained and prepared military observers and police that they could provide'.⁹⁹ The statistical report can provide summary data of the number of personnel in the standby roster system aggregated in terms of age, sex, service length, rank, types of peacekeeping training undertaken, SAT scores, language skills, driving skills, firearms skills, prior mission experience, as well as the

specific expert profile outlined in part 9 of the annexed sample RFLF. The report could also specify the number of personnel in the roster qualified for various categories of police roles in peacekeeping operations (such as FPU, IPO, specialised police expert, police contingent command and senior police advisory roles).

National roster managers will have to organise the statistics of national roster members and forward them to the respective RECs/RMs. Based on the national reports, roster managers at the RECs/RMs can generate aggregated regional statistical data and forward it to the AU PSOD. In generating the reports, both automated and manual data-compiling operations may be applied. Where a well-designed database program is installed and functional, almost all the figures needed for the statistical reports could be generated through either fully or partly automated operations. Otherwise, the roster managers should be able to generate the entries manually. The reporting may need to be done at regular intervals depending on the time frame set for updating the records in the national rosters. Standardised formats should be designed and used for the statistical data reporting.

DEVELOPING AND MANAGING THE ROSTER SYSTEM

Key milestones

Creating and operationalising the proposed ASF roster system necessitate the development of related directives and standards, and the acquisition of specialised and custom-made computer programs, equipment and expertise. It is advised that a three-stage process – designing and preparation; pilot testing; and reviewing and fully operationalising – should be followed to develop the roster system. The AUC and RECs/RMs may need to contract professional consultants to assist them in the process, particularly in developing the system standards and tools. While the system is being developed, the RECs/RMs can concurrently train the personnel to maintain and manage the rosters at the continental, regional and national levels.

The absence of clear directives, standards and tools has been the principal impediment in the implementation of the ASF roster system. Resolving this will therefore be critical and take priority over the rest of the measures taken towards establishing the system. The following are among the key aspects that need to be addressed:

- **The system's standards:** detailed specifications of the features, functions, architecture and components of the roster system, as well as its development and management modalities, processes and responsibilities.

- **Data operation guidelines:** description of the kinds of data captured and processed by the roster system as well as the methodologies and procedures of the roster data operations (i.e. recording, updating, maintaining, protecting, screening and sharing). The guidelines may also include data access and protocols that specify the modalities and arrangements for accessing and using the data in the roster system. The practical benefits of such detailed guidelines include ease of execution and enhanced efficiency of roster data operations; ease of training roster managers; enhanced data security; better working relationships and data sharing among roster managers at different levels; and proper access and use by external users of the roster information.
- **Data operation support tools:** standardised formats, tables and checklists specifically designed to be used for recording, storing, compiling and sharing the roster data. Examples of these include roster membership application forms, the RFLF, statistical data report forms, roster data update forms, training report templates and mission report templates.
- **Database program:** a computer program (software) particularly designed to support the data operations in line with the prescribed standards and procedures. Such a program will enable one to easily store, modify or update, collate and extract the data. The program should execute automated operations of data compiling and generating statistical data reports. In addition to these basic operations, the computer program needs to be a high-tech tool capable of assisting the three types of screening applied on roster members as well as the integrated web-based platform shared by the roster managers at national, regional and continental levels.

The standards, guidelines and tools must ensure uniformity in the operations carried out by the roster managers at different levels. Primarily, they must be related to the ASF mandate and structure, especially for the police component. They should also be relevant to the deployment needs of the UN, AU, RECs and other end-users of police capacity for peacekeeping missions. Since member countries should be using the same database to recruit for UN as well as AU missions, consistency with related UN standards and experiences should be maintained in developing the standards.

To be successful, the development of the system should follow carefully designed and implemented phases involving discrete activities. Most of these processes may need to be implemented in sequence. The main steps to be considered include the following, implemented in order of sequence:

- Conducting a detailed assessment to draw up a clear and complete picture of the system, its operations and needs, including the financial costs of establishing and operating the system. This step should cover all three levels of ASF roster management – continental, regional and national.
- Coming up with the relevant policy and implementation framework to define the key characteristics and architecture of the required roster system, and chart the detailed processes of developing the system.
- Developing a handbook of the data operation standards. The handbook may comprise the data operation guidelines, data sharing and protocols, standardised formats and tools used in the data operations. It should specify the roles and responsibilities of the key actors in the roster-management processes, including the national roster managers, regional roster managers (RECs/RMs) and continental roster managers (AUC/PSOD).
- Developing a specialised computer program – the roster system software.
- Establishing the roster system management structures and specialised units that perform the data operations.
- Procuring and installing data operation and communications facilities and equipment.
- Recruiting and training the data operation specialists and roster managers. This is critical, especially at national level, where all data regarding the roster members is originally captured and maintained.
- Testing the system through a selective or limited implementation.
- Reviewing the system's standards and fully operationalising the system.

Key actors

The key actors with a role in the development of the ASF police roster system are the AUC/PSOD, RECs/RMs, national governments and police authorities, institutions that train police personnel for peace support operations, mission leaders and the roster members. The AUC is the principal owner of the ASF roster development and management process. It is supposed to play a range of key roles, such as policy provider, capacity builder, coordinator and data user. As a central PLANELM, the AU PSOD assumes the key responsibility to ensure not only that the systems are created, but also that the systems and their operations are standardised and integrated across the RECs/RMs and member countries.

Through its PSOD, the AUC is to develop and sanction the policy framework and operational guidelines of the ASF roster system, including defining the ASF roster membership requirements and screening criteria. These may involve determining the minimum professional

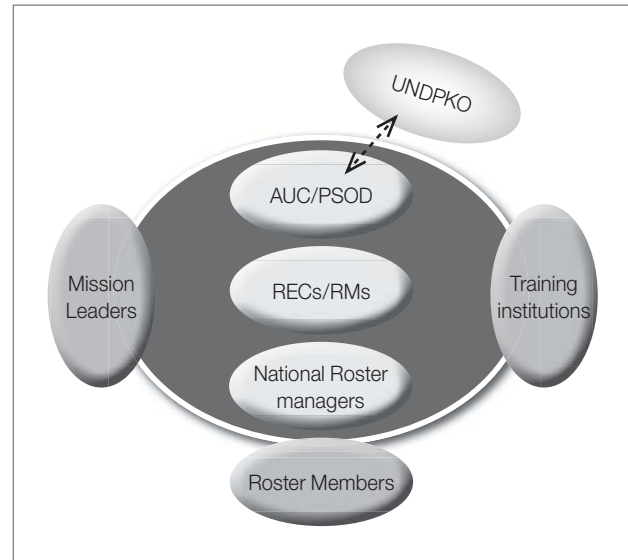
requirements to serve in the AU police in general as well as to qualify for FPU membership, IPO assignments, police contingent command and senior advisory posts. This includes establishing generic as well as deployment-specific job descriptions and specifications of required competencies for each post. The number of standby police personnel to be maintained in the regional and national rosters may also be a policy issue to be determined at AUC level.

The AU PSOD, as a mission support unit, is 'responsible for elaborating generic job descriptions and selection procedures, establishing codes of conduct, determining mission personnel requirements and supporting the heads of AU missions in selecting personnel'¹⁰⁰ for specific mission assignments. The DPKO's 'lessons learned' study has highlighted 'not only that police with relevant expertise were in very limited supply but also the importance of fully briefing participating states on changing needs and requirements'.¹⁰¹ Therefore, the AU PSOD is expected to regularly update the list of required police skill sets by requesting ongoing AU and UN missions to provide information on the police skill sets needed in their missions, and to share them with the RECs/RMs and member states to guide their nominations and pre-selections of officers for AU and UN SATs, as well as screening for roster membership.

Besides playing such policy-making roles, the AU PSOD may also have to take part in the roster system's operations. If the national, regional and continental rosters are interlinked, the AU PSOD will centrally manage the system and preserve and protect the continental database. Otherwise, it will organise and maintain continental-level statistical data disaggregated by region and by country. It may also need to establish and manage its own roster of high-skilled police professional volunteers, who could help fill the positions of senior police mission experts, advisors and leaders. Hence, the PSOD police component will need to create central roster management and support capabilities.

Regional PLANELMs are 'responsible for raising and maintaining the pledged units, developing the police and civilian rosters, and making the necessary arrangements for deployment'.¹⁰² They coordinate and collaborate with the respective centres of excellence and other peacekeeping training institutions. In addition, they are involved in defining training needs, organising and facilitating training and capacity-building programmes, and in policy development and implementation support. The PLANELMs facilitate communications between the AUC and member states in terms of the policies and standards related to the roster system. Like the PSOD, they will take part in the roster system's operation and management. In fact, the system needs to be managed more directly by the police components in the RECs/RMs. This may involve

Figure 2 Actors in the ASF roster system



closely supporting and guiding the design and establishment of the system at regional and national levels, and if the system is interlinked, overseeing and reviewing entries into the system, collating and organising the data in the system, generating periodic reports from the system, and conducting screening and selection using the system.

Training centres, on the one hand, play the role of data generators or providers to the roster system; on the other, they are users of the information in the roster system. They keep records of their training courses (type, duration or period, learning topics, etc.) as well as the participants' profiles (names, sex, nationalities, assessment scores, etc.) and share these details with the PLANELMs or roster managers at the respective RECs/RMs and countries.

Training centres can also assist roster managers by interviewing and evaluating roster candidates and members in the course of training, where the policy and guidelines of the ASF police roster management make provision to harness this as part of the screening process. Training centres take the position of users when they need to access the data in the roster system in their efforts to identify training needs and streamline their training programmes accordingly. Therefore, there will be a need to standardise, link and harmonise the databases and relationships across training institutions and roster managers.

Similar to the training institutions, mission leaders both contribute information to the roster system and seek information from it. Mission leaders can assist in the continual updating of the rosters by regularly briefing the roster managers on the kinds of skill sets needed by police in their missions. They could also help enrich the rosters and training programmes by providing information on the performances and gaps of the personnel deployed to their peacekeeping operations. As the clients of the roster system, mission leaders will need to access and use the

roster information in the selection and placement of police officers in their missions.

Commanders of national police contingents in peacekeeping missions are the official representatives of their national contingents.¹⁰³ They are required to follow up on and review the professional and welfare matters of their national contingents, to ensure that their contingents adhere to the mission guidelines and standard operating procedures, and to maintain an up-to-date list of all police officers from their contingent in the mission area with details of their postings. Thus, they could assist the respective national roster managers by providing information about the assignments, personnel performance and conduct, and key lessons learnt from the missions at the group and individual levels.

The AU member states have the prerogative of maintaining databases of their standby personnel, and hence they need to commit the resources required to establish and manage the national rosters. National roster managers are the principal repositories of the roster data. They perform all sorts of data operations (capturing, storing, protecting, updating, screening and sharing data). As they generate and preserve the original records, the role of national roster managers has primacy over that of the regional and continental roster managers who rely on them. National roster managers are best placed to inform the national police personnel of the opportunities, requirements and procedures for peacekeeping deployment, and to encourage and assist them to pursue the roster membership. They facilitate in selecting and training personnel for roster membership and deployment, thereby ensuring the complete value chain of training, rostering, selection and deployment. Consequently, success in the operationalisation of the ASF roster system will depend largely on member states having sufficient capacity and mechanisms in place at national level to manage the system.

Roster members are the principal sources of the roster information. They should provide complete and accurate information in their application forms for roster membership. Once in the roster system, they should keep their profiles continually updated by advancing their skill sets and how they meet emerging requirements. They should also continually update the roster managers with the changes in their profile. Roster members should provide information about their training, including the type of course, learning topics, duration of the training, training provider, key lessons learnt or competencies gained and assessment scores. Similarly, on deployment to peacekeeping missions, roster members may be required to write reports about their in-mission training, assignments and performances, as well as key experiences, lessons and challenges. In addition to updating the members'

roster profiles, this information can be used in research and development aimed at improving police peacekeeping training and deployment.

CONCLUSION

Although Africa hosts most peacekeeping missions, the rest of the world seems to be reluctant to deploy forces to the continent. Consequently, Africa needs to develop its own peacekeeping capabilities more than any other region. In this context, the ASF is established 'to provide the African Union with capabilities to respond to conflicts through the deployment of peacekeeping forces and to undertake interventions pursuant to article 4(h) and (i) of the Constitutive Act in terms of which the AU was established'.¹⁰⁴ The ASF is intended to be a multidisciplinary force on a high level of readiness and capable of rapid deployment. To this end, rosters of pre-screened and well-prepared military, police and civilian personnel are needed. Despite its wide support, however, a roster system for the ASF police has not yet been established. By defining the key features, operations and processes of a proposed roster system for the ASF police component, this paper attempts to provide a roadmap for establishing and operationalising the system.

First, the roster system must be able to ensure systematic recording, maintenance, updating and sharing of information on the standby police personnel. The kinds of data to be captured and maintained by the system include personal details, general as well as peacekeeping-specific training and employment history, performance scores, certificates of good conduct and, most importantly, the specific competencies required for police peacekeeping assignments.

Second, the system should be able to facilitate quick screening of qualified personnel who meet the requirements for many types of police peacekeeping assignments. The screening procedures will need to be applied in three instances – initially, to ascertain whether an applicant or a nominee for roster membership meets the specified requirements for membership; secondly, to identify the most suitable candidates from the roster members for arising job posts; and, finally, to weed out roster members who are no longer eligible.

Third, the system must be capable of supporting the training, research and development of the ASF police dimension.

The roster system is intended to aid the effective planning and use of trained police personnel in a wide range of peacekeeping capacities. Designed and operated accordingly, the proposed system will enable the efficient recording and tracking of police officers who are trained and deployed. It can facilitate access to the information in the database as well as to the officers (in the roster, on

deployment or having returned from deployment) for the purposes of research and surveys.

By providing a convenient means for assessing the needs of police peacekeeping training and the impact that training has had on personnel, the system will help ensure that ongoing training courses are relevant for emerging deployment needs. In light of this, the design of the system should allow records to be kept on the status of trained personnel, the performances of roster members deployed to peacekeeping missions, feedback from returning officers on their key lessons and challenges, and suggestions. This information would be conveyed to training institutions to help inform their training. In this way, the roster system serves as a link between training and deployment, and helps training to be more relevant to unfolding deployment needs.

To achieve these objectives, the roster system needs to have standardised features, processes and data technology, together with the requisite human and financial inputs. It should also be managed through clear and comprehensive guidelines regarding data operations and data sharing as well as the specific roles of the key actors in the course of the system's development and operations.

Establishing and operating the roster system require the concerted effort of several actors, including the AUC, RECs/RMs, member states and other relevant national authorities. Consequently, agreeing upon the significance, features, standards and operating procedures of the system, and winning the commitment of all stakeholders in terms of their specific roles, remain crucial.

According to Cilliers, the 'effective command and control of the ASF require the installation of an appropriate Africa-wide, integrated and interoperable command, control, communication and information system ... infrastructure, to link deployed units with mission HQs, as well as the AU, planning elements ... and regions'.¹⁰⁵ The roster system may need to be part of such an integrated ASF communication and information system and strategy. When the police roster system proves itself to be effectively operational, it could perhaps be expanded to include other law-enforcement and rule-of-law professionals, such as public prosecutors, judges and prison-service managers needed for peacekeeping roles.

NOTES

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ANNEX

Sample of roster file layout form (RFLF)

1. Personal particulars							
Personal ID number:	Sex	Date of birth	Marital status		Nationality		
Names:							
Physical address:	P. O. Box:	Telephone:			E-mail:		
2. General education and training							
	Yes	No	Remark: period/duration, place, field of study, language, etc.				
Secondary-school leaving certificate							
Basic police training							
Police officer cadet training							
Professional diploma							
Bachelor degree							
Master's degree							
Doctoral degree							
3. Employment history							
Dates	Position		Employer	Supervisor's name and contact			
4. Certificate of good conduct							
	Yes	No	Description/remark				
Certificate of good conduct presented							
Free from disciplinary allegations							
Free from human-rights allegations							
Free from criminal allegations							
5. Peacekeeping training							
	Yes	No	Period/duration	Provider	Place	Score	Remark
Basic FPU training							
Basic IPO training							
Operational leadership training							
Senior PSO leadership training							
UNPOC trainers' training							
Other specialised training							
6. Selection and assessment test							
	Yes	No	Period	Place	Score	Remark	
UN SAT							
AU or ASF SAT							

6. Selection and assessment test						
	Yes	No	Period	Place	Score	Remark
Others						
7. Basic skills/requirements						
Language	Yes	No	High	Average	Low	Remark
English						
French						
Arabic						
Portuguese						
Others						
Other skills/requirements						
Driving						
Firearms						
Computer						
8. Peacekeeping mission experience						
	Yes	No	Period	Position(s)	Performance score	Remark
Have mission experience						
Name of mission(s) deployed to:						
9. Specific skills ¹⁰⁶						
Skill set/category and specific area of expertise	Yes	No	High	Average	Low	Remark
Police operation and security						
<i>Planning and running critical police/security operations (elections, demonstration, public events, etc.)</i>						
<i>Public order (FPU-related)</i>						
<i>VIP protection and security</i>						
<i>Traffic management</i>						
<i>Airport security and security of other strategic infrastructures</i>						
<i>Border security, customs, riverside police, immigration, etc.</i>						
<i>Transnational crime operations, Interpol, operations to combat trafficking in human beings, drugs and weapons</i>						
<i>Special police (SWAT, rapid reaction units, anti-terrorist, undercover operation)</i>						
Crime management/crime prevention						
<i>Crime scene management</i>						
<i>Suspect/witness interview</i>						
<i>Crime investigation (serious crimes, fraud, homicide, burglary, SGBV)</i>						
<i>Criminal records/database management</i>						
<i>Crime data analysis, crime trend recognition</i>						
<i>Criminal intelligence analysis and management</i>						
<i>Forensics, including crime evidence presentation, fingerprints, ballistics, firearm examination, DNA, pathology, handwriting and fraudulent document identification, money counterfeiting, etc.</i>						

9. Specific skills ¹⁰⁶						
Skill set/category and specific area of expertise	Yes	No	High	Average	Low	Remark
<i>Community policing</i>						
<i>Traditional policing (paramount, tribal, nomad-focused, etc.)</i>						
Administration						
<i>Police infrastructure administration</i>						
<i>Fiscal management, budget development, payroll system management, financial auditing</i>						
<i>Procurement, logistics, asset management, fleet management, tenders and contracts</i>						
<i>Human-resource management</i>						
<i>Internal affairs, discipline management</i>						
<i>Audit and inspection of police units</i>						
<i>Legal support and legal drafting</i>						
Management						
<i>Supervision/command of police units</i>						
<i>Project design and management</i>						
<i>Institution building</i>						
<i>Organisational planning</i>						
<i>Police reform and restructuring</i>						
Training						
<i>Training organisation and management</i>						
<i>Training curriculum and training plans development</i>						
<i>General training delivery (including in-service training) in the areas of basic training, leadership training, general policing, police legislation, ethics, etc.)</i>						
<i>Tactical training including training in self-defence, police formations, procedures such as arrest, search, detention, etc.</i>						
<i>Weapons handling training (non lethal and fire arms)</i>						
<i>Language training</i>						
Technical support						
<i>Weaponry: armoury management and inspection, gunsmith, weapon safety and storage, shooting range construction, explosive handling, etc.</i>						
<i>IT: database development and administration, system design, computer programming, network specialist, etc.</i>						
<i>Communication: radio and data communication system establishment and management, police radio network installation and maintenance, etc.</i>						
<i>Police surveillance: equipment installation, running operations, use of evidence, etc.</i>						
<i>Public information</i>						
<i>Civil engineering: construction projects, building standards, architecture, building plan development, etc.</i>						
<i>Medical services</i>						

ABOUT THE PAPER

Despite its wide support a standardised roster system for the African Standby Force (ASF) has not yet been established. Drawing on the experiences of maintaining civilian rosters for peacekeeping operations, this paper specifies the proposed features and functions of the ASF police roster system. It also proposes the relevant standards, procedures and tools of the roster data operations and sharing; provides insights into the processes of the system's creation, operationalisation and management; and outlines the roles and responsibilities of the various stakeholders in the establishment and operation of the system. The paper can inform and assist in the establishment and operationalisation of a standardised, integrated database system that enables systematic capturing, maintenance, updating and sharing of information on the capabilities, training, deployment and performance of the ASF police personnel.

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